

PrimusGFS - Questions and Expectations - v 1.6

This Module should be completed only once for the entire audit. It is common for all the operations in the scope of the application done by the organization.

Module 1 - FSMS (Sections 1.01 to 1.08)

Food Safety Management System Requirements

Section	Q #	Question	Total Points	Expectations
Management System	1.01.01	Is there a documented food safety policy detailing the company's commitment to food safety?	5	The documented Policy should include a clear statement and detailed objectives of the company's commitment to meet the food safety needs of its products.
Management System	1.01.02	Is there a Food Safety Manual or other documented food safety management system covering the scope of business included in this audit and procedures/instructions for all food safety processes?	5	The Food Safety Manual should be appropriate for the scope to be covered by the audit and include documented standards and procedures, policies, etc., and/or specific reference to them.
Management System	1.01.03	Is there a detailed organizational structure chart of all employees whose activities affect food safety?	3	Document should show job functions, responsibilities and reporting structure of employees whose activities affect food safety. Alternates should be indicated.
Management System	1.01.04	Is there a food safety committee and are there logs of food safety meetings with topics covered and attendees?	5	Meetings that are either devoted to, or mention food safety issues, should be recorded as proof of company's ongoing commitment to food safety (minimum quarterly frequency). This meetings should detail Senior Management involvement in the Food Safety program.
Management System	1.01.05	Is there documented management verification of the entire food safety management system on at least an annual basis?	5	There should be documented verification of the entire food safety management system at planned intervals (minimum yearly); reviewed by senior management to ensure its continuing suitability, adequacy and effectiveness. The review should determine the need of changes to the system. If applicable, HACCP verification should be performed as well and that is covered in the HACCP Module of the Scheme. Both activities can be performed together or separately.
Management System	1.01.06	Is there a documented analysis detailing resources required to implement and improve the food safety management system processes with documented commitment from senior management to provide these resources?	5	Senior management should have documented evidence that they have determined and provided all the resources needed to implement and improve food safety related processes in a timely manner with the intention of address their customers' satisfaction.
Records Requirements	1.02.01	Are all records free of "correction fluid" (white out), pencil text and erasable ink text? If using computerized records, is there a system that shows record amendments (data history) if the records are changed after initial entry?	3	Corrections to records should be made without the use of "correction fluid" ("white-out"). Records should be in permanent ink, not pencil or erasable ink. If corrections are made they should be crossed out (and initialed by the person making the change) so that the original information is still legible. If records are stored on computer, then there should be a way of tracking any amendments to the records i.e. an amendment history with the ability to see who changed what, and when (this allows one to see what value was changed).

Module 1 - FSMS (Sections 1.01 to 1.08)
Food Safety Management System Requirements

Records Requirements	1.02.02	Are all monitoring and process control records stored for a minimum period of a year or for at least the shelf life of product if greater than a year?	3	Records should be retained for auditing purposes and in case there are legal issues, customer queries, etc. All monitoring and process control records should be held for a minimum of one year regardless of the production item's shelf life. Any records required by law to be kept longer than one year should be kept the legally mandated period. Any records pertaining to long life product should be kept at least for the duration of the shelf life of the product.
Records Requirements	1.02.03	Are the written procedures available to relevant users and is a master copy maintained in a central file?	5	The written procedures should be available to the operators involved in performing the activities described in the procedures.
Procedures and Corrective Actions	1.03.01	Are there written Standard Operating Procedures (SOPs) that detail work instructions for food safety related activities performed in the field operations?	5	There should be written SOPs covering food safety related activities performed in the field, for example: fertilizer/crop nutrition, crop protection, irrigation, harvesting, etc. The SOPs should show what is to be done, how it is done, how often, by whom, what records are required and any corrective action procedures to perform when deficiencies occur.
Procedures and Corrective Actions	1.03.02	Are there written Standard Operating Procedures (SOPs) that detail work instructions for food safety related activities in the facility operations?	5	There should be written SOPs covering food safety related activities performed at the facility, for example: goods receiving, temperature control, pest control, food safety training, shipping, foreign material control, etc. The SOPs should show what is to be done, how it is done, how often, by whom, what records are required and any corrective action procedures to perform when deficiencies occur.
Procedures and Corrective Actions	1.03.03	Is there a corrective action procedure that describes the requirements for follow up and prevention of future occurrences?	5	Written procedures should include the corrective actions to be taken in case of any deficiency affecting food safety is identified in the organization. Corrective actions should include the review of the non conformance, the determination of the causes, the establishment of an action plan address such non conformances and prevent future occurrences, the implementation of corrective actions to and the follow-up to ensure the actions have solved the problem. Records of the corrective action activities and their follow-up should be kept on file.
Internal and external inspections	1.04.01	Is there a program for periodic self-inspections of the field operations covering any process impacting food safety and are records maintained detailing corrective actions? For Field (GAP option) this includes the growing and harvesting practices and all the related documentation and records generated.	10	In depth internal inspections should be performed and recorded for each field operation in order to proactively ensure safe food production. Records should show corrective actions taken. Self inspections should include the verification of the practices and the documents related. An audit checklist should be used as aid to make sure the inspection covers all the areas.
Internal and external inspections	1.04.02	Is there a program for periodic self-inspections of the facility operations covering any process impacting food safety and are records maintained detailing corrective actions? For Facility (GMP option) includes the observation of the facility practices and all the related documentation and records generated.	10	In depth internal inspections should be performed and recorded for each facility operation in order to proactively ensure safe food production. Records should show corrective actions taken. Self inspections should include the verification of the practices and the documents related. An audit checklist should be used as aid to make sure the inspection covers all the areas.

Module 1 - FSMS (Sections 1.01 to 1.08)
Food Safety Management System Requirements

Internal and external inspections	1.04.03	Are there written procedures for handling regulatory inspections?	3	Written procedures for handling regulatory inspections allow employees to be aware of how to handle the inspection appropriately including ensuring that the inspector is always accompanied, rules on taking samples, rules on taking photographs etc.
Internal and external inspections	1.04.04	Are there records of regulatory inspections and/or contracted inspections, company responses and corrective actions, if any?	5	It is important to keep these records on file to show that the company fixed deficiencies and it also verifies good practices. Corrective actions should be recorded.
Internal and external inspections	1.04.05	Are there documented policies and/or procedures for the calibration for measuring and monitoring devices used in the field operations such as fertilizer and crop protection application equipment, and other equipment related to the safety of the product?	10	Equipment used for measuring and monitoring processes related to food safety, should be calibrated regularly to ensure correct and accurate operation. Calibration procedures should describe the frequency of testing, the testing method and the acceptable range of variation. Corrective actions should be detailed when applicable. Legal requirements, manufacturer recommendations, best practice and experience of equipment drift help to determine the frequency
Internal and external inspections	1.04.06	Are there documented policies and/or procedures for the calibration for measuring and monitoring devices used in the facility operations such as chemical application equipment, thermometers, metal detectors, ORP meters, pH meters and other equipment related to the safety of the product?	10	Equipment used for measuring and monitoring processes related to food safety, should be calibrated regularly to ensure correct and accurate operation. Calibration procedures should describe the frequency of testing, the testing method and the acceptable range of variation. Corrective actions should be detailed when applicable. Legal requirements, manufacturer recommendations, best practice and experience of equipment drift help to determine the frequency
Rejection and release of product	1.05.01	Is there a written procedure for handling on hold or rejected products?	10	A documented procedure should exist that explains how product should be handled, that has either been rejected or placed on hold. The procedure should include details on how the affected product lot(s) is/are separated from other lots in terms of tagging systems (date showing when the product was placed on hold/rejected and the reason for being on hold/rejected and the name of the person who put he product on hold) and any other physical separation to ensure that affected product is not commingled with other goods in such a way that their disposition is not clear. Authorized personnel should sign (with date and time) a "release" for any product placed on hold or rejected, detailing actions taken e.g. disposition, re-work, food bank, etc.
Rejection and release of product	1.05.02	Are product release procedures implemented (e.g. lot signed out, when a product lot sample is undergoing an analysis, etc.) and are records available for review?	5	Product release procedures assure that a lot is only released for shipment (sale) when lot meets agreed standards (e.g. specification) or meets agreed testing requirements (e.g. results confirmed negative or within limits results from testing, etc.). Products should not be released for shipment without assuring that all food safety and quality evaluations have been completed.

Module 1 - FSMS (Sections 1.01 to 1.08)
Food Safety Management System Requirements

Rejection and release of product	1.05.03	Is there a documented system for dealing with customer complaints and buyer food safety complaints and are those on file, along with company responses, including corrective actions?	10	There should be a documented policy/procedure detailing how to handle complaints and it is important to keep the complaints related records on file to support company policy/procedure. The policy and records should include (where applicable): - <ul style="list-style-type: none"> • Date/Time of complaint/rejection, • Who made the complaint, • Contact information, • Product description, • Where the product was purchased, • Amount of product, • Product code/date, • Nature of complaint, • Corrective actions, • Corrective actions taken to prevent recurrence.
Supplier Monitoring	1.06.01	Are there current written specifications for all ingredients, materials, products and services purchased &/or provided that relate to product safety, are they easily accessed and there is a review process in place for the specifications?	5	A specification is an explicit set of requirements to be met. There should be documented specifications for all ingredients, materials, products and services (including utilities, transport and maintenance) purchased/provided that have an effect on product safety. There should be a specification review process in place. Documented specifications should be easily accessed to users.
Supplier Monitoring	1.06.02	Is there a list of approved suppliers?	5	There should be a list of approved suppliers. All ingredients, products, materials and services that relate to food safety are ideally purchased from approved suppliers; where exceptions are made (e.g. market conditions) approval from management should be documented.
Supplier Monitoring	1.06.03	Is there a written procedure detailing the selection, evaluation, approval and monitoring process of approved suppliers?	5	There should be a written procedure detailing how suppliers are evaluated, approved and monitored. This procedure should include methods of removal of approved suppliers.
Supplier Monitoring	1.06.04	Does the organization have documented evidence to ensure that raw material, processing aids and ingredients suppliers comply with specifications, regulatory requirements and best practice guidelines?	15	The organization should have relevant information from approved suppliers to ensure that they are complying with the established specifications, regulatory requirements and best practice guidelines. This applies to raw material, processing aids and other ingredients suppliers.
Supplier Monitoring	1.06.05	Does the organization have documented evidence to ensure that packaging, materials and services suppliers comply with specifications, regulatory requirements and best practice guidelines?	15	The organization should have relevant information from approved suppliers to ensure that they are complying with the established specifications, regulatory requirements and best practice guidelines. This applies to packaging, other materials (non-products or ingredients) and services suppliers.
Supplier Monitoring	1.06.06	Are appropriate supplier controls in place (e.g. results of pesticide multi-residue analysis) to ensure product pesticide residues of raw material/ingredients do not exceed published MRLs?	5	Supplier control procedures should ensure that the MRLs for supplied product are in compliance with the published MRLs.

Module 1 - FSMS (Sections 1.01 to 1.08)
Food Safety Management System Requirements

Traceability and Recall	1.07.01	Is there is a documented account that indicates how the company product tracking system works, thereby enabling trace back and trace forward to occur in the event of a potential recall issue?	10	The tracking system should be shown in writing or in the form of a flow diagram. The system should be able to show that it can trace back to the supplier(s) of materials and also show that the system can trace forward and indicate which customer(s) received products. This is usually accomplished by lot coding materials throughout a process and recording these lot codes at different points in the process. The traceability system should be in evidence when touring the operation and also when checking paperwork. The written traceability system should match the system that is being used in the operation. The traceability system should include any product, ingredient and/or service related to the food safety that is outsourced.
Traceability and Recall	1.07.02	Does the organization have a documented recall program including: procedures, recall team roles and contact details, external contact listings, explanation of different types (classes) of recalls?	15	To facilitate an efficient recall there should be written recall procedures, recall team details (contact details, roles and responsibilities), referral to customer and supplier contact details, explanations of relevant laws e.g. class of recalls etc.
Traceability and Recall	1.07.03	Is testing of recall procedures (including trace back) performed and documented annually? Can the company identify where affected product was sent?	10	Testing of recall procedures should be performed at least annually. Documentation should indicate the date and time the mock recall was initiated, the product chosen, the scenario, amount of product produced, affected lot ID's (date code(s), lot code(s), etc.), amount located, and percent located. Mock recall documentation should include copies of documentation that support the traceback from the affected finished good lot through to the production run(s) affected and therefore showing if other lots are affected and which other customers might have received affected lot(s). Checks should be carried out to ensure that contact details exist for the affected customers. Documentation should also include any "lessons learned" from the process.
Traceability and Recall	1.07.04	Is there a daily incidents report, sometimes called a Notice(s) of Unusual Occurrence and Corrective Actions Log (NUOCA) ?	5	This documentation records unusual and infrequent events, remedial actions and preventive actions. These might include foreign object findings, chemical spills, power outs, packaging issues, glass breakage, etc.
Product testing	1.08.01	Based on risk assessment, is there scheduled testing program for raw materials, work in progress, packaging and finished goods?	5	There should be a scheduled testing program based on risk assessment for raw materials, work in progress, packaging and finished goods that have an impact in product safety. This testing program could include microbiological, chemical and physical tests as identified in the risk assessment performed by the organization for the operation(s). If test are necessary, test methods and frequencies should be included in the program.
Product testing	1.08.02	If test are necessary from the risk assessment, is there evidence of the test results for raw materials, work in progress, packaging and finished goods, at the scheduled frequencies and with follow-up for identified deviations?	5	If the risk assessment determined that tests for raw materials, work in progress, packaging and finished goods are necessary, there should be documented evidence of the test results at the scheduled frequencies and with corrective actions for identified deviations.

Module 1 - FSMS (Sections 1.01 to 1.08)
Food Safety Management System Requirements

Product testing	1.08.03	Are testing and analysis performed by licensed/accredited laboratories (e.g. ISO 17025 or equivalent, National Regulations, State Department, etc.)?	5	All testing, e.g. pesticide residue and microbial should be done by laboratories with current licenses and/or accreditations. These can be ISO 17025 or equivalent, National Regulations or State Department approvals in the country of production. Documented evidence of this licenses and/or accreditations should be available.
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PrimusGFS - Questions and Expectations - v 1.6

This Module should be completed for each one of the field operations in the scope of the application done by the organization. Sections 2.01 to 2.10 shall be repeated for each Ranch or Greenhouse operation and sections 2.11 to 2.15 should be repeated for each Harvest Crew operation, linked to the Ranch or Greenhouse where the harvesting is taking place.

Module 2 - GAP option (Sections 2.01 to 2.15)

Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
General GAP	2.01.01	Is there a designated person responsible for the food safety program in the field?	10	Y N	Y	There should be an appropriate person (preferably manager) assigned responsibility for the field's food safety program.
Site Identification	2.02.01	Is the growing area(s) adequately identified or coded to enable trace back and trace forward in the event of a recall?	15	Y N	Y	Coding details (e.g. farm name or reference code, blocks of the growing area (s), greenhouse/building code or number(s)) should be in sufficient detail to enable trace back and trace forward through the distribution system. Details of the coding need to be tied to the record keeping system (e.g., pesticide, fertilizer records, microbiological testing reports).
Ground History	2.03.01	Were farming area(s) used for growing food crops for human consumption last season?	0	Y N	Y	Land should be purchased or leased that has previously been successfully utilized for growing produce for human consumption without incidence.
Ground History	2.03.02	Has the growing area(s) been used for any non-agricultural functions? If No, go to 2.03.03	7	Y N	N	Purchase or lease of ground previously used for non-agricultural functions (e.g., toxic waste site, landfill, mining, extraction of oil or natural gas) should be avoided. Land should be purchased or leased that has previously been successfully utilized for growing produce for human consumption without incidence. http://www.epa.gov/superfund/health/index.htm .
Ground History	2.03.02a	If the land had been used previously for non-agricultural functions have soil tests been conducted showing soil was negative or within an appropriate regulatory agency's approved limits for contaminants?	15	Y N/ N/A	Y	If the land had been used previously used for non-agricultural functions soil testing should be conducted to determine if the soil is free of contaminants (e.g. heavy metals, residues of persistent organic contaminants) that may still be present in the soil.
Ground History	2.03.03	Has the growing area(s) been used for animal husbandry or grazing land for animals? If No, go to 2.3.04	7	Y N	N	If the land was used previously for animal husbandry or grazing land for livestock, there should be a sufficient buffer time before growing a crop for human consumption. A risk evaluation should be documented that includes recording the details of the animal grazing (commercial or domestic) and any risk reduction steps.
Ground History	2.03.03a	If the land was used previously for animal husbandry or grazing land for livestock, has a risk evaluation been performed?	10	Y N/ N/A	Y	A risk evaluation should be documented that includes recording the details of the animal grazing (commercial or domestic) and any risk reduction steps.
Ground History	2.03.04	Is there evidence of animal presence and/or animal activity in the audited area? If answer is NO, go to Q 2.03.05.	15	Y N	N	Animals can represent potential contamination to the growing area, to the crop, to the field equipment and other, therefore, animals should not be present in the operations. Evidence of animal presence can be tracks, fecal matter, feathers and many others. If answer is NO, go to Q 2.03.05.
Ground History	2.03.04a	Is the evidence of animal presence and/or animal activity found, in the form of fecal contamination? If answer is NO, go to Q 2.03.05.	20	Y N	N	Animal fecal matter has the potential of representing contamination to the product being grown. Produce that has come into direct contact with fecal material is not to be harvested. A "no harvest zone" approx. 5ft (1.5 m) radius should be implemented unless or until adequate mitigation measures have been considered. If evidence of fecal material is found, a food safety assessment should be conducted by qualified personnel. This question is "no" if the grower has already noted this issue and performed adequate corrective actions. Consideration of the maturity stage and type of crop involved is required. If answer is NO, go to Q 2.03.05.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Ground History	2.03.04b	Is the fecal matter found in the audited area, a systematic event (not sporadic)? If this question is answered Yes, automatic failure of this audit will result.	20	Y N	N	Animal fecal matter has the potential of representing contamination to the product being grown. Produce that has come into direct contact with fecal material is not to be harvested. A "no harvest zone" approx. 5ft (1.5 m) radius should be implemented unless or until adequate mitigation measures have been considered. If evidence of fecal material is found, a food safety assessment should be conducted by qualified personnel. This question is "no" if the grower has already noted this issue and performed adequate correct actions. Consideration of the maturity stage and type of crop involved is required. If this question is answered Yes, automatic failure of this audit will result.
Ground History	2.03.05	Has flooding from uncontrolled causes occurred on the growing area(s) since the previous growing season? If No, go to 2.3.06	0	Y N	N	This would be the case of: The flowing or overflowing of a field with water outside a grower's control that is reasonably likely to contain microorganisms of significant public health concern and is reasonably likely to cause adulteration of edible portions of fresh produce in that field.
Ground History	2.03.05a	If the growing area(s) and product was affected from the flood waters, is there documented evidence that corrective measures were taken to affected land and product?	15	Y N/ N/A	Y	If the growing area, growing facility(s) and/or product was affected from the flood waters, there is documented evidence (archived for 2 years) that corrective measures were taken with affected land and/or product (e.g. photographs, sketched maps, etc.). On file should be proof that affected product and product within approximately 30ft (9.1m) of the flooding should not have been harvested for human consumption and that replanting on formerly flooded production ground has not occurred for approximately 60 days if the ground has dried out unless testing as noted in 2.03.05b has occurred. *
Ground History	2.03.05b	Have soil tests been conducted on the flooded area(s) showing soil was negative or within an appropriate regulatory agency's approved limits for contaminants?	20	Y N/ N/A	Y	If flooding has occurred in the past on the property, soil clearance testing may be conducted prior to planting. If performed, testing must indicate soil levels of microorganisms lower than the standards for processed compost. Suitable representative samples should be collected for the entire area suspected to have been exposed. If results indicate no issues, then the replanting time line can be reduced from approximately 60 days to approximately 30 days.*
Ground History	2.03.06	Is the growing operation under organic principals? If No , go to 2.3.07	0	Y N	Y	Definition for "organic principles": A system that relies on ecosystem management rather than external agricultural inputs. http://www.fao.org/ORGANICAG/fram11-e.htm
Ground History	2.03.06a	Is current certification by an accredited organic certification organization on file and available for review?	0	Y N/ N/A	Y	Current certification by an accredited organic certification organization (national/local) should be on file and available for review.
Ground History	2.03.07	If the growing area(s) is a new purchase or lease, has a documented risk assessment been undertaken?	10	Y N/ N/A	Y	Lease of ground previously used for questionable practices should be avoided. Land should be purchased or leased that has previously been successfully utilized for growing produce for human consumption without incidence.
Adjacent Land Use	2.04.01	Is the adjacent land to the growing area a possible source of contamination from intensive livestock production (e.g. feed lots, dairy operations, poultry houses, meat rendering operation)? If No, go to 2.04.02	10	Y N	N	Adjacent refers to all parcels of land next to the growing operation, within a distance where the crop in question may be affected. Examples of intensive livestock production are cattle feed lots, dairy operations, poultry houses, etc. Consideration should be made for the topography of the land for runoff, potential flooding issues, and prevailing winds for manure related dust issues.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Adjacent Land Use	2.04.01a	Have appropriate measures been taken to mitigate this possible contamination source onto the growing area (e.g. buffer areas, physical barriers, foundation, fences, ditches, etc.)?	15	Y N/ N/A	Y	Animal or potential contaminant movement should be restricted with acceptable buffer zones, proper fencing and/or other physical barriers. A buffer zone of approximately 400 ft. (122m) from the edge of the growing area which may increase or decrease depending on the risk variables i.e., topography (uphill from the crop or downhill from the crop) is needed. Rain induced runoff of animal waste should be diverted by trenching or similar land preparation. Leaking animal waste should be diverted by trenching or similar land preparation. *
Adjacent Land Use	2.04.02	Are, or is there evidence of domestic animals, wild animals, grazing lands (includes homes with hobby farms, and non commercial livestock) in proximity to growing operation? If No, go to 2.04.03.	10	Y N	N	Examples include chicken coops, dogs, horses, homes with hobby farms, wild pigs etc. Auditor must consider the maturity stage and type of crop involved. For example, pig activity around a ground level berry crop is different from a high level tree crop.
Adjacent Land Use	2.04.02a	Have physical measures been put in place to restrain domestic animals, grazing lands, (includes homes with hobby farms, and non commercial livestock) and their waste from entering the growing area (e.g. vegetative strips, wind breaks, physical barriers, berms, fences, diversion ditches.)?	15	Y N/ N/A	Y	Mitigating measures should include a buffer area of approximately 30 ft. (9.1m) from the edge of the crop which may increase or decrease depending on the risk variables e.g. topography (uphill from the crop or downhill from the crop). Other measures may be used such as vegetative strips, wind breaks, physical barriers, berms, fences, diversion ditches to prevent or control runoff, mitigate particulates, etc. *
Adjacent Land Use	2.04.02b	Is there a written policy supported by visual evidence that domestic, livestock, or wild animals are not allowed in the growing area? Note: This includes any packaging or equipment storage areas.	10	Y N/ N/A	Y	There is a written policy supported by visual evidence that domestic, livestock, or wild animals are not allowed in the growing area as well as any packaging, sanitizer, or equipment storage areas. Animals of significant risk include deer, wild pigs, cattle, goats and sheep.
Adjacent Land Use	2.04.02c	Are measures in place to reduce or limit the animal intrusion (i.e., monitoring field perimeter for signs of intrusion)?	15	Y N/ N/A	Y	Proper controls and measures should include monitoring animal and wildlife activity in and proximate to fields and production environments. Produce that has come into direct contact with fecal material is not be harvested and a "no harvest zone" of approximately 5ft (1.5 m) radius should be implemented unless or until adequate mitigation measures have been considered. If evidence of fecal material is found, a food safety assessment must be conducted by qualified personnel. *
Adjacent Land Use	2.04.03	Are untreated animal manure piles, compost, biosolids, or nonsynthetic amendment stored and/or applied on adjacent land? If No, go to 2.04.04	10	Y N	N	Adjacent refers to all parcels of land next to the growing operation or within a distance where the crop in question may be affected by untreated animal manure piles, compost, biosolids, or nonsynthetic amendment stored and/or applied on adjacent land.
Adjacent Land Use	2.04.03a	Have physical measures been taken to secure untreated animal manure piles, compost, biosolids, or nonsynthetic amendment stored and/or applied on adjacent land?	15	Y N/ N/A	Y	Mitigating measures should include a buffer area of approximately 400 ft. (122 m) from the edge of the crop which may increase or decrease depending on the risk variables e.g. topography (uphill from the crop or downhill from the crop). Other measures may include tarping systems, physical barriers, fences, ditches, etc. Implementing systems to redirect run off that may contain untreated manure, compost, or biosolids. *
Adjacent Land Use	2.04.03b	If biosolids are stored and/or applied on adjacent land, has the adjacent landowner supplied paperwork confirming the biosolids meet prevailing guidelines, governmental, or local standards?	10	Y N/ N/A	Y	The adjacent landowner of where the biosolids are applied or stored should supply paperwork detailing sufficient information regarding the class of biosolids (e.g., Class AA, A, B): Information should be available that would make it possible to trace back to the source if needed. Information should be available to prove the materials meet prevailing guidelines, governmental, or local standards. Biosolid applications should be timed to avoid conflicts with growing schedules in adjacent fields.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Adjacent Land Use	2.04.04	Is the growing area situated in a higher risk location where contamination could occur from nearby operations or functions (e.g. leach fields, runoff or potential flooding from sewers, toilet systems, industrial facilities, labor camps)? If No, go to 2.04.05	10	Y N	N	"Higher risk" refers to any nearby activities or operations that could pose a threat to the growing area or facility(s). These might include chemical, microbiological, or physical contamination or pollution. Examples include, but are not limited to runoff or potential flooding from sewers, toilet systems, industrial facilities, labor camps (issues of trash).
Adjacent Land Use	2.04.04a	Have appropriate measures been taken to mitigate risks related to nearby operations?	15	Y N/ N/A	Y	Mitigating measures should include a buffer area around the crop. For example with a properly designed leach field a buffer zone of approximately 30 ft. (9 m). Very high risk issues should consider approximately 400ft (122 m) or higher buffer zones. Buffer zone distances should be determined by considering the risk variables (e.g. topography, type of crop). Other mitigating measures may include physical barriers, fences, ditches, etc. *
Adjacent Land Use	2.04.05	Is there evidence of human fecal matter in the adjacent land to the audited area? If NO, go to 2.05.01	15	Y N	N	Evidence of human fecal matter represents potential of contamination to the growing area, the crop and field equipment. If NO, go to 2.05.01
Adjacent Land Use	2.04.05a	Does the human fecal matter found in the adjacent area, represents a high risk to the crop for potential of contamination due to conditions as: lack of access controls (barriers), closeness to the growing area and equipment, crop type and maturity, land condition, and others?	20	Y N	N	If the fecal matter found combines with conditions that can increase the potential of contamination to the growing area, the crop or the field equipment, this represents a high risk situation that has to be addressed.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.01	Is there a written policy supported by visual evidence that domestic and wild animals, livestock, or birds are not allowed in the growing facility; including grounds and any packaging or equipment storage areas.	10	Y N	Y	There is a written policy supported by visual evidence that domestic or wild birds and animals or livestock are not allowed in the growing facility(s) as well as any packaging or equipment storage areas to prevent possible physical or microbiological contamination.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.02	Are all entry points to growing facility(s), storage and packaging areas protected to prevent entry of rodents or birds?	10	Y N	Y	Growing facility, storage and packaging areas should be adequately constructed to prevent entry of rodents or birds. Walls, windows and screens should be maintained, doors should have no gaps greater than approximately 1/8 inch (3 mm).
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.03	If used, are pest control devices (inc. rodent traps and electrical fly killers) located away from exposed food products? Poisonous rodent bait traps are not used within the growing facility or inside any storage or packaging areas?	10	Y N N/A	Y	Pest control devices should be located away from exposed food products, packaging materials, or equipment to prevent any physical or microbial contamination. Poisonous rodent bait traps should not be located within the growing facility or inside any storage or packaging areas.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.03a	If used, are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	10	Y N N/A	Y	All pest control devices should be maintained clean and replaced when damaged so they will accomplish their intended use. Date of inspections (at least monthly) should be posted on the devices as well as kept on file (unless barcode scanned).
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.03b	If used, are pest control devices adequate in number and location?	10	Y N N/A	Y	Inside pest control : mechanical traps every 20-40 feet. Outside building perimeter: mechanical traps and/or bait stations every 50-100 feet (exterior/ interior traps should be placed on both sides of doorways). Outside packaging storage should be protected by adequate pest control devices.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.03c	If used, are all pest control devices identified by a number or other code (e.g. barcode) ?	10	Y N N/A	Y	All traps should be clearly identified (e.g. numbered) to facilitate monitoring and maintenance. All traps should be located with wall signs (that state the trap number and also that they are trap identifier signs).

Module 2 - GAP option (Sections 2.01 to 2.15)
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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.03d	If used, are all pest control devices properly installed and secured?	10	Y N N/A	Y	All traps should be correctly orientated with openings parallel with and closest to wall. Bait traps should be locked and tamper resistant in some way (e.g. locks, screws, etc.). Bait traps should be secured to prevent removal and only block bait (no pellets) used. If mounted on slabs, then wall signs should be used to aid location.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.04	Is there a written pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator license (if baits are used) and insurance documents?	15	Y N N/A	Y	A pest control program is essential to the operation's sanitation. It should be maintained by a contracted company or an appropriately trained in-house employee (PCO required if baits used). Relevant documentation must be on file.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.05	Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant?	10	Y N N/A	Y	Schematic drawing or trap map is on file, current and details internal and external traps. All devices should be numbered and clearly identified on the map. Map numbers should match physical placement.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.06	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions (if issues were noted) (in-house and/or contract)?	10	Y N N/A	Y	Inspection reports are necessary for the identification and correction of pest problem areas. Records should include service(s) performed, date of service, chemicals used (including EPA # if in the US), signs of activity and corrective actions.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.07	Has the facility eliminated or controlled any potential glass, metal or hard plastic contamination issues?	10	Y/N	Y	All foreign material risks must be either removed and/or accounted for and controlled. Example include metal filings (maintenance), glass lights, push pins, staples, etc.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.08	Is there a written glass policy (including glass breakage procedure and where necessary a glass register)?	10	Y/N/N/A	Y	Document should include site glass policy, breakage procedure and glass register if necessary.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.09	Are the growing facility(s), including grounds and any packaging and storage areas clean and well maintained?	10	Y/N	Y	All facility areas should be kept clean and free from debris and other extraneous materials. This helps avoid pest attraction and contamination of products or packaging. Pest activity is easier to detect in a clean area. Litter, waste, refuse, uncut weeds or grass and standing water inside, or within the immediate vicinity of the building may constitute an attractant or breeding place for rodents, insects or other pests, as well as microorganisms that may cause contamination.
Pest and Foreign Material Controls - <i>Applicable for greenhouses only</i>	2.05.1	If applicable, are compost and/or substrate receiving and storage areas adequately separated from crop production and packaging and other storage areas?	10	Y N N/A	Y	Adequate separation of compost and substrates from growing and other storage areas is essential to prevent possible cross contamination.
Growing Media (Substrate) Use - <i>Applicable for greenhouses only</i>	2.06.01	Is soil used in the growing operation?	0	Y N	Y	Information gathering question.
Growing Media (Substrate) Use - <i>Applicable for greenhouses only</i>	2.06.02	Is a hydroponic system used?	0	Y N N/A	Y	Information gathering question.
Growing Media (Substrate) Use - <i>Applicable for greenhouses only</i>	2.06.03	If a hydroponic system is used, is it a "closed" hydroponic system (excess solution is captured and reused) ?	0	Y N N/A	Y	Information gathering question.

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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Growing Media (Substrate) Use - <i>Applicable for greenhouses only</i>	2.06.03a	If used, are records available detailing how the solution is treated for recycling?	15	Y N/ N/A	Y	This refers to wastewater from the roots that is recaptured, sterilized, and reused to reduce environmental waste and contamination, and to conserve water. Growers should sterilize the recycled nutrient water by heating it to approximately 90°C (194°F), U.V., ozonation, etc.
Growing Media (Substrate) Use - <i>Applicable for greenhouses only</i>	2.06.04	Are substrates (e.g. sand, gravel, vermiculite, rockwool, perlite, peat moss, coir, etc.) used? If no, go to 2.6.05	0	Y N N/A	Y	Information gathering question.
Growing Media (Substrate) Use - <i>Applicable for greenhouses only</i>	2.06.04a	If substrates are heat/steam sterilized, have the location, date of sterilization, time/temperature readings, operator's name and pre-plant interval been recorded?	15	Y N/ N/A	Y	When the substrates are sterilized on-site, the name or reference of the facility are recorded. If sterilized off-site then name and location of company performing service should be recorded. Information should include: date of sterilization, time/temperatures used, machinery and method operator's name and pre-planting interval.
Fertilizer/Crop Nutrition	2.07.01	Is untreated human sewage sludge used in the growing cycle? If this question is answered Yes, automatic failure of this audit will result.	20	Y N	N	Untreated human sewage sludge is not to be used in the growing cycle. If used, automatic failure of this audit will result.
Fertilizer/Crop Nutrition	2.07.02	Is compost produced from animal derived materials used by the grower? If No, go to 2.07.03	0	Y N	N	This question is specifically targeting compost produced from raw animal manures, as opposed to green waste.
Fertilizer/Crop Nutrition	2.07.02a	Are compost applications incorporated into the soil prior to planting or bud burst for tree crops and not applied during the growing season?	10	Y N/ N/A	Y	If used, the applications should be incorporated into the soil prior to planting.
Fertilizer/Crop Nutrition	2.07.02b	Are there compost use records available for each growing area, including application records which shows that the interval between application and harvest was not less than 45 days?	15	Y N/ N/A	Y	Compost records showing the date of application, the lot code of compost applied and where the compost was applied should be available. Records should show a 45 day interval between compost application and harvesting unless more stringent national or local legislation/guidelines exist.
Fertilizer/Crop Nutrition	2.07.02c	Are there Certificate(s) of Analysis (CoA) from the compost supplier(s) that covers pathogen testing (plus any other legally/best practice required testing) and does the grower have relevant letters of guarantee regarding SOP's and logs?	20	Y N/ N/A	Y	Certificates of analysis should be available for each lot of compost (containing animal materials) used. Tests should include microbiological analysis for pathogens: Salmonella, E.coli O157:H7 and Fecal Coliforms using approved sampling and testing methods (e.g., AOAC and an accredited laboratory). Please see compliance criteria for further details regarding testing. All local and national legislation should also be followed. The grower should have proof that compost suppliers have cross contamination SOP's and temperature/turning logs. *
Fertilizer/Crop Nutrition	2.07.02d	Are there Certificate(s) of Analysis (COA), letters of guarantee or some other documents from the compost supplier(s) that covers heavy metal testing?	10	Y N/ N/A	Y	Certificate(s) of Analysis (COA), letters of guarantee or some other documents from the compost supplier(s) that covers heavy metal testing should be available. Concerns are for heavy metals that may affect human health (e.g., Cadmium (Cd) Arsenic (As), Chromium (Cr), Lead (Pb), Mercury (Hg), Nickel (Ni), and Vanadium (V)). See Section 17868.2. Maximum Metal Concentrations for reference levels. All local and national legislation should also be followed.
Fertilizer/Crop Nutrition	2.07.03	Are biosolids used? If No, go to 2.07.04. NOTE: Special attention to commodity specific guidelines rules (e.g., Californian Leafy Greens) which ban the use of biosolids, see 2.07.03d	0	Y N	N	This refers to organic materials resulting from the treatment of domestic sewage at a wastewater treatment facility. See http://www.epa.gov/epacfr40/chapt-l.info/ .

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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Fertilizer/Crop Nutrition	2.07.03a	Are biosolids incorporated into the soil prior to planting or bud burst for tree crops and not applied during the growing season?	15	Y N/ N/A	Y	Applications should be incorporated into the soil prior to planting. Maximizing time between the application and harvest is recommended; see local legislation and best practice guidelines, e.g.. EPA Biosolid regulations in the US. http://www.epa.gov/epacfr40/chapt-1.info/ http://www.epa.gov/owm/mtb/biosolids/503pe/index.htm
Fertilizer/Crop Nutrition	2.07.03b	Are the grower's biosolids use records available for each growing area, especially application records?	15	Y N/ N/A	Y	There should be sufficient information in the records that would make it possible to trace an application back if needed. Application records should include at least the date, lot code and application method. Examples of supporting records may include invoices that contain lot numbers, delivery location, delivery date, etc. The documentation should be current and available for review.
Fertilizer/Crop Nutrition	2.07.03c	Is there a Certificate(s) of Analysis (COA) from the biosolid supplier(s) certifying compliance with prevailing national/ local standards and guidelines (microbiological analysis)? If this question is answered No, automatic failure of this audit will result.	20	Y N/ N/A	Y	Microbiological analysis should correlate with the product lot use reports (e.g. lot numbers, delivery location, delivery date). Only approved suppliers should be used limited to those firms demonstrating consistent compliance with prevailing national/ local standards and guidelines (e.g. Heavy metal and microbiological testing) including classification AA, A, B, etc. OR additional tests that may be required.
Fertilizer/Crop Nutrition	2.07.03d	Are there Certificate(s) of Analysis (COA), letters of guarantee or some other documents from the biosolid supplier(s) certifying compliance with prevailing national/ local standards and guidelines (heavy metal test analysis)?	10	Y N/ N/A	Y	Certificate(s) of Analysis (COA), letters of guarantee or some other documents from the biosolid supplier(s) that covers heavy metal testing should be available. Concerns are for heavy metals that may affect human health (e.g., Cadmium (Cd) Arsenic (As), Chromium (Cr), Lead (Pb), Mercury (Hg), Nickel (Ni), and Vanadium (V)).
Fertilizer/Crop Nutrition	2.07.03e	Are biosolids being applied to crops where the country of production regulations/guidelines ban the use such materials e.g. Leafy Green Commodity Specific Guidelines in California? <u>If this question is answered Yes, automatic failure of this audit will result.</u>	20	Y N/ N/A	N	Some commodity specific guidelines have rules regarding use of biosolids, e.g. Californian Leafy Green Commodity Specific Guideline the use of biosolids.
Fertilizer/Crop Nutrition	2.07.04	Is untreated animal manure used? If No, go to 2.07.05. NOTE: Special attention to commodity specific guidelines rules (e.g., Californian Leafy Green Commodity Specific Guidelines) which ban the use of untreated animal manures. See 2.07.04d	15	Y N	N	Untreated animal manure refers to manure that is raw and has not gone through a treatment process. Note that some commodity specific guidelines have rules regarding use of untreated manures (e.g. Californian Leafy Green Commodity Specific Guidelines bans the use of untreated manures).
Fertilizer/Crop Nutrition	2.07.04a	Is untreated animal manure incorporated into the soil prior to planting or bud burst for tree crops and not applied during the growing season?	20	Y N/ N/A	Y	If used, the applications should be incorporated into the soil prior to planting.
Fertilizer/Crop Nutrition	2.07.04b	Are there untreated animal manure records available for each growing area including application records which shows that the interval between application and harvest was not less than 120 days (unless more stringent laws or guidelines exist)?	15	Y N/ N/A	Y	There should be sufficient information in the records that would make it possible to trace an application back if needed. Application records should include at least the date, lot code and application method. Examples of supporting records may include invoices that contain lot numbers, delivery location, delivery date, etc. The documentation should be current and available for review.

Module 2 - GAP option (Sections 2.01 to 2.15)
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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Fertilizer/Crop Nutrition	2.07.04c	Are there Certificate(s) of Analysis (COA), specification or some other document available for review provided by the untreated animal manure supplier stating the components of the material?	20	Y N/ N/A	Y	There should be sufficient identification information that would make it possible to trace back to the source if needed therefore only approved suppliers should be used limited to those firms demonstrating consistent compliance with prevailing national/ local standards and guidelines.
Fertilizer/Crop Nutrition	2.07.04d	Are untreated animal manures being used where the country regulations/guidelines ban the use such materials (e.g., Californian Leafy Green Commodity Specific Guidelines)? If this question is answered Yes, automatic failure of this audit will result.	20	Y N/ N/A	N	Some commodity specific guidelines have rules regarding use of untreated animal manures, (e.g., Californian Leafy Green Commodity Specific Guidelines) bans the use of untreated animal manures.
Fertilizer/Crop Nutrition	2.07.05	Are other nonsynthetic crop treatments used (e.g. compost teas, fish emulsions, fish meal, blood meal, "bio fertilizers")? If No, go to 2.07.06	0	Y N	N	Examples include but are not limited to compost teas, fish emulsions, fish meal, blood meal, and "bio fertilizers" that are produced from animal materials.
Fertilizer/Crop Nutrition	2.07.05a	Are nonsynthetic treatments that contain animal products or animal manures applied to the edible portions of crops?	15	Y N/ N/A	N	Nonsynthetic treatments that contain animal products or animal manures should not be applied to the edible portions of crops.
Fertilizer/Crop Nutrition	2.07.05b	Are nonsynthetic crop treatment records available for each growing area including application records demonstrating the interval between application and harvest was not less than 45 days?	15	Y N/ N/A	Y	Nonsynthetic crop treatment records should be available for each growing facility(s) including application records demonstrating the interval between application and harvest was sufficient (i.e., not less than 45 days). There should be sufficient information in the records that would make it possible to trace an application back if needed. Application records should include at least the date, lot code and application method. *
Fertilizer/Crop Nutrition	2.07.05c	Are there Certificate(s) of Analysis available from the nonsynthetic crop treatment suppliers that covers pathogen testing (plus any other legally/best practice required testing)?	20	Y N/ N/A	Y	Certificates of analysis should be available for each lot of nonsynthetic crop treatment (containing animal materials) used. Test should include microbiological test analysis. Microbial testing should include Salmonella and E.coli O157:H7 using approved sampling and testing methods. e.g. AOAC. and an accredited laboratory. Please see compliance criteria for further details regarding testing. All local and national legislation should also followed. *
Fertilizer/Crop Nutrition	2.07.05d	Are there Certificate(s) of Analysis (COA), letters of guarantee or some other documents from the nonsynthetic crop treatment suppliers that covers heavy metal testing?	10	Y N/ N/A	Y	Certificate(s) of Analysis (COA), letters of guarantee or some other documents from the nonsynthetic crop treatment supplier(s) that covers heavy metal testing should be available. Concerns are for heavy metals that may affect human health (e.g., Cadmium (Cd) Arsenic (As), Chromium (Cr), Lead (Pb), Mercury (Hg), Nickel (Ni), and Vanadium (V).).
Fertilizer/Crop Nutrition	2.07.06	Are any soil or substrate amendments (except inorganic nutrients/fertilizers) used that do not contain animal products and/or animal manures? If No, go to 2.07.07	0	Y N	N	This refers to soil or substrate amendments (except inorganic nutrients/fertilizers) used that do not contain animal products and/or animal manures. Examples include but are not limited to plant by-products, humates, seaweed, inoculants, and conditioners.
Fertilizer/Crop Nutrition	2.07.06a	Are the grower's soil or substrate amendment (except inorganic nutrients/fertilizers that do not contain animal products and/or animal manures) records available for review including application records?	10	Y N/ N/A	Y	Records should legible and at least detail date of application, type of fertilizer, amount, method of application (drip, bulk, etc.) and operator name. There should be sufficient identification information in the records that would make it possible to trace an application back to the site if needed.

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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Fertilizer/Crop Nutrition	2.07.06b	Are there Certificate(s) of Analysis (COA) and/or letters of guarantee stating that the materials used are free from animal products and/or animal manures?	20	Y N/ N/A	Y	There should be Certificate(s) of Analysis and/or letters of guarantee from the fertilizer supplier, stating that the materials they are supplying are free from animal products and/or animal manures. A statement of ingredients or letter from suppliers attesting the this fact is acceptable. Auditor should match the names of the materials being used with the COA's and/letters of guarantee.
Fertilizer/Crop Nutrition	2.07.07	Are inorganic fertilizers used? If No, go to 2.07.08	0	Y N	Y	Examples of manufactured inorganic fertilizers include ammonium nitrate, ammonium sulfate, chemically synthesized urea, etc.
Fertilizer/Crop Nutrition	2.07.07a	Are the grower's inorganic fertilizer records available for review including application records?	10	Y N/ N/A	Y	Records should be legible and at least detail date of application, type of fertilizer, amount, method of application (drip, bulk, etc.), and operator name. There should be sufficient identification information in the records that would make it possible to trace an application back to the site if needed.
Fertilizer/Crop Nutrition	2.07.07b	Are there Certificate(s) of Analysis (COA), letters of guarantee or some other documents from the inorganic fertilizer supplier(s) that specifies the all the ingredients including inert materials?	7	Y N/ N/A	Y	Certificate(s) of Analysis (COA), letters of guarantee or other formal documentation from the fertilizer manufacturer's or supplier(s) should be current and state any inert or active ingredient substances used as "fillers" (e.g., clay pellets, granular limestone). Concerns are for heavy metals that may affect human health (e.g., Cadmium (Cd) Arsenic (As), Chromium (Cr), Lead (Pb), Mercury (Hg), Nickel (Ni), and Vanadium (V)).
Fertilizer/Crop Nutrition	2.07.08	If fertilizers and/or fertilizer containers are stored on the property, are they stored in a manner to prevent contamination to the growing area(s) or any of water sources?	3	Y N/ N/A	Y	Fertilizers and/or fertilizer containers should be stored securely to prevent contamination issues.
Irrigation / Water Use	2.08.01	Does the growing operation practice dryland farming? If No, go to 2.08.02	0	Y N	Y	This refers to crop production that relies only on direct rainfall.
Irrigation / Water Use	2.08.01a	If the growing operation practices dryland farming, are there water systems used in the growing operation to supply for crop needs such as crop protection/fertilizer applications, and frost or freeze prevention program? If No, go to 2.08.02	0	Y N/ N/A	Y	Water systems used in the growing operation to supply for crop needs such as crop protection/fertilizer applications, and frost or freeze prevention program.
Irrigation / Water Use	2.08.01b	Are microbiological tests, including generic E.coli conducted on the water? If No, go to 2.08.01d.	20	Y N/ N/A	Y	Microbial water testing including generic E.coli should occur for all water sources used for any growing activities like crop protection/fertilizer and frost or freeze prevention programs. The score for this question is "No" if test records are older than 12 months.
Irrigation / Water Use	2.08.01c	Are the microbiological tests current and conducted at the required and/or expected frequencies?	15	Y N/ N/A	Y	One sample per water source should be collected and tested prior to use and then ideally monthly, or at frequency relative to the associated risks. * For commodities under the CA Leafy Greens agreement, one sample per water source should be collected and tested prior to use if >60 days since the last test of the water source. Routine sampling should be collected no less than 18 hour apart and at least monthly during use.
Irrigation / Water Use	2.08.01d	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	Y N/ N/A	Y	There should be documented procedures in place detailing how water samples are taken in the field including stating how samples should be identified i.e. clearly naming the location that the sample was taken, the water source and the date (this is important in order to be able to calculate geometric means). Samples should be taken at a point as close to the point of use as possible where water contacts the crop, so as to test both the water source and the water distribution system.

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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Irrigation / Water Use	2.08.01e	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	Y N/ N/A	Y	Written procedures (SOPs) should exist covering corrective measures not only for the discovery of unsuitable or abnormal water results but also as a preparation on how to handle such findings.
Irrigation / Water Use	2.08.01f	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	20	Y N/ N/A	Y	For generic E.coli (unless more stringent guidelines/laws in existence) <126MPN (or CFU)/100mL (rolling geometric mean n=5) and <235MPN (or CFU)/100mL for any single sample. Where thresholds have been exceeded there should be recorded corrective actions including investigations, water retests and crop testing (E.coli O157:H7 and Salmonella - zero tolerance). *
Irrigation / Water Use	2.08.02	Is the water used for the growing operation sourced from municipal or district water pipeline systems? If No, go to 2.08.03	0	Y N	Y	(No recommendation)
Irrigation / Water Use	2.08.02a	Are microbiological tests, including generic E.coli conducted on the water? If No, go to 2.08.02c.	20	Y N/ N/A	Y	Microbial water testing including generic E.coli should occur on a routine basis. All water sources should be tested that are used for direct contact with the edible portion of a crop as well as non-contact water sources. The score for this question is "No" if test records are older than 12 months.
Irrigation / Water Use	2.08.02b	Are the microbiological tests current and conducted at the required and/or expected frequencies?	15	Y N/ N/A	Y	One sample per water source should be collected and tested prior to use and then ideally monthly, or at frequency relative to the associated risks. * For commodities under the CA Leafy Greens agreement, one sample per water source should be collected and tested prior to use if >60 days since the last test of the water source. Routine sampling should be collected no less than 18 hour apart and at least monthly during use.
Irrigation / Water Use	2.08.02c	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	Y N/ N/A	Y	There should be documented procedures in place detailing how water samples are taken in the field including stating how samples should be identified i.e. clearly naming the location that the sample was taken, the water source and the date (this is important in order to be able to calculate geometric means). Samples should be taken at a point as close to the point of use as possible where water contacts the crop, so as to test both the water source and the water distribution system.
Irrigation / Water Use	2.08.02d	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	Y N/ N/A	Y	Written procedures (SOPs) should exist covering corrective measures not only for the discovery of unsuitable or abnormal water results but also as a preparation on how to handle such findings.
Irrigation / Water Use	2.08.02e	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	20	Y N/ N/A	Y	For generic E.coli (unless more stringent guidelines/laws in existence) <126MPN (or CFU)/100mL (rolling geometric mean n=5) and <235MPN (or CFU)/100mL for any single sample. Where thresholds have been exceeded there should be recorded corrective actions including investigations, water retests and crop testing (E.coli O157:H7 and Salmonella - zero tolerance). *
Irrigation / Water Use	2.08.02f	Are the crops irrigated by a micro irrigation or drip system?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.02g	Is overhead irrigation used to irrigate the crop or as part of a frost or freeze prevention program? NOTE: "Irrigating the crop" refers to irrigation during the mature growing cycle. This does not include pre-planting or just after planting to create a stand.	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.02h	Are the crops irrigated by flood irrigation or a furrow system?	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.

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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Irrigation / Water Use	2.08.02i	Are the crops sub irrigated (also known as seepage irrigation)?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.03	Is the water used in the growing operation sourced from wells? If No, go to 2.08.04	0	Y N	Y	(No recommendation)
Irrigation / Water Use	2.08.03a	Are all well heads at adequate distance from untreated manure?	15	Y N/ N/A	Y	There should be approximately 200ft (61m) separation of untreated manure from wells. Distance may increase or decrease depending on the risk variables e.g. topography (uphill or downhill). *
Irrigation / Water Use	2.08.03b	Is the well designed to prevent contamination?	10	Y N/ N/A	Y	If wells are used they must be designed to prevent contamination. Closed wells should be sealed and protected against contamination issues.
Irrigation / Water Use	2.08.03c	Is it evident that the well(s) is free from contamination issues and are measures taken to minimize contamination of wells?	10	Y N/ N/A	Y	A routine maintenance and program should be in place that includes removal of all inappropriate materials (e.g. plant material, trash, animal carcasses). Filtration, disinfection systems, etc. also may be part of the measures taken to minimize contamination. Well heads should be free from cracks in the concrete.
Irrigation / Water Use	2.08.03d	Are records kept for periodic inspections and treatment of wells (if performed) available for review?	7	Y N/ N/A	Y	"Records" may include calendar books with commentary regarding what was checked, the condition, unusual occurrences, and any action taken. If using a disinfection injection system (e.g. chlorination), there should be monitoring logs completed on at least a daily basis. Any well "shocking" should be recorded. The appropriate support documentation should be available for review.
Irrigation / Water Use	2.08.03e	Are microbiological tests, including generic E.coli conducted on the water? If No, go to 2.08.03g	20	Y N/ N/A	Y	Microbial water testing including Generic E.coli should occur on a routine basis. All water sources should be tested that are used for direct contact with the edible portion of a crop as well as non-contact water sources. The score for this question is "No" if test records are older than 12 months.
Irrigation / Water Use	2.08.03f	Are the microbiological tests current and conducted at the required and/or expected frequencies?	15	Y N/ N/A	Y	One sample per water source should be collected and tested prior to use and then ideally monthly, or at frequency relative to the associated risks. * For commodities under the CA Leafy Greens agreement, one sample per water source should be collected and tested prior to use if >60 days since the last test of the water source. Routine sampling should be collected no less than 18 hour apart and at least monthly during use.
Irrigation / Water Use	2.08.03g	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	Y N/ N/A	Y	There should be documented procedures in place detailing how water samples are taken in the field including stating how samples should be identified i.e. clearly naming the location that the sample was taken, the water source and the date (this is important in order to be able to calculate geometric means). Samples should be taken at a point as close to the point of use as possible where water contacts the crop, so as to test both the water source and the water distribution system.
Irrigation / Water Use	2.08.03h	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	Y N/ N/A	Y	Written procedures (SOPs) should exist covering corrective measures not only for the discovery of unsuitable or abnormal water results but also as a preparation on how to handle such findings.
Irrigation / Water Use	2.08.03i	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	20	Y N/ N/A	Y	For Generic E.coli (unless more stringent guidelines/laws in existence) <126MPN (or CFU)/100mL (rolling geometric mean n=5) and <235MPN (or CFU)/100mL for any single sample. Where thresholds have been exceeded there should be recorded corrective actions including investigations, water retests and crop testing (E.coli O157:H7 and Salmonella - zero tolerance). *
Irrigation / Water Use	2.08.03j	Are the crops irrigated by a micro irrigation or drip system?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Irrigation / Water Use	2.08.03k	Is overhead irrigation used to irrigate the crop or as part of a frost or freeze prevention program? NOTE: "Irrigating the crop" refers to irrigation during the mature growing cycle. This does not include pre-planting or just after planting to create a stand.	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.03l	Are the crops irrigated by flood irrigation or a furrow system?	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.03m	Are the crops sub irrigated (also known as seepage irrigation)?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.04	Is the water used in the growing operation sourced from ponds, reservoirs, watersheds or other surface water source? If No, go to 2.08.05	0	Y N	N	Water sourced from ponds, reservoirs, watersheds or other surface water systems may carry more of a risk for contamination than closed water sources. For surface waters, consider the impact of storm events on irrigation practices. Bacterial loads in surface water are generally much higher than normal, and caution should be exercised when using these waters for irrigation.
Irrigation / Water Use	2.08.04a	Is surface water in adequate distance from untreated manure?	15	Y N/ N/A	Y	There should be approximately 100ft (30 m) separation for sandy soil and 200ft (61 m) separation for loam or clay soil (slope less than 6%;increase distance to 300ft (91 m) if slope is greater than 6%). Distance may increase or decrease depending on the risk variables e.g. topography (uphill or downhill). *
Irrigation / Water Use	2.08.04b	Do animals (domestic, livestock, or wild) have access to the water source?	7	Y N/ N/A	N	Animals (domestic, livestock, or wild) should not have access to the system due to the possibility of contamination occurrences.
Irrigation / Water Use	2.08.04c	Is it evident that the water source is free of contamination issues and are measures taken to minimize contamination of the water source?	10	Y N/ N/A	Y	A routine maintenance program should be in place that includes removal of all inappropriate materials (e.g. plant material, trash, animal carcasses). Filtration, documentation of animal intrusion, disinfection systems, etc. also may be part of the measures taken to minimize contamination.
Irrigation / Water Use	2.08.04d	Are records kept for the periodic visual inspections and disinfection treatments (if used) available for review?	7	Y N/ N/A	Y	"Records" may include calendar books with commentary regarding what was checked, the condition, unusual occurrences, and any action taken. If using a disinfection injection system (e.g. chlorination), there should be monitoring logs completed on at least a daily basis. The appropriate support documentation should be available for review.
Irrigation / Water Use	2.08.04e	Are microbiological tests, including generic E.coli conducted on the water? If No, go to 2.08.04g	20	Y N/ N/A	Y	Microbial water testing including generic E.coli should occur on a routine basis. All water sources should be tested that are used for direct contact with the edible portion of a crop as well as non-contact water sources. The score for this question is "No" if test records are older than 12 months.
Irrigation / Water Use	2.08.04f	Are the microbiological tests current and conducted at the required and/or expected frequencies?	15	Y N/ N/A	Y	One sample per water source should be collected and tested prior to use and then ideally monthly, or at frequency relative to the associated risks. * For commodities under the CA Leafy Greens agreement, one sample per water source should be collected and tested prior to use if >60 days since the last test of the water source. Routine sampling should be collected no less than 18 hour apart and at least monthly during use.
Irrigation / Water Use	2.08.04g	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	Y N/ N/A	Y	There should be documented procedures in place detailing how water samples are taken in the field including stating how samples should be identified i.e. clearly naming the location that the sample was taken, the water source and the date (this is important in order to be able to calculate geometric means). Samples should be taken at a point as close to the point of use as possible where water contacts the crop, so as to test both the water source and the water distribution system.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Irrigation / Water Use	2.08.04h	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	Y N/ N/A	Y	Written procedures (SOPs) should exist covering corrective measures not only for the discovery of unsuitable or abnormal water results but also as a preparation on how to handle such findings.
Irrigation / Water Use	2.08.04i	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	20	Y N/ N/A	Y	For generic E.coli (unless more stringent guidelines/laws in existence) <126MPN (or CFU)/100mL (rolling geometric mean n=5) and <235MPN (or CFU)/100mL for any single sample. Where thresholds have been exceeded there should be recorded corrective actions including investigations, water retests and crop testing (E.coli O157:H7 and Salmonella - zero tolerance). *
Irrigation / Water Use	2.08.04j	Are the crops irrigated by a micro irrigation or drip system?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.04k	Is overhead irrigation used to irrigate the crop or as part of a frost or freeze prevention program? NOTE: "Irrigating the crop" refers to irrigation during the mature growing cycle. This does not include pre-planting or just after planting to create a stand.	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.04l	Are the crops irrigated by flood irrigation or a furrow system?	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.04m	Are the crops sub irrigated (also known as seepage irrigation)?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.05	Is the water used in the growing operation sourced from canals, rivers, ditches, or other open flowing water systems? If No, go to 2.08.06	0	Y N	Y	Water sourced from canals, rivers, ditches or other open flowing water systems may carry more of a risk for contamination than closed water sources. For surface waters, consider the impact of storm events on irrigation practices. Bacterial loads in surface water are generally much higher than normal, and caution should be exercised when using these waters for irrigation.
Irrigation / Water Use	2.08.05a	Is surface water in adequate distance from untreated manure?	15	Y N/ N/A	Y	There should be approximately 100ft (30 m) separation for sandy soil and 200ft (61 m) separation for loam or clay soil (slope less than 6%;increase distance to 300ft (91 m) if slope is greater than 6%). Distance may increase or decrease depending on the risk variables e.g. topography (uphill or downhill). *
Irrigation / Water Use	2.08.05b	Is the water source under the direction of a water authority or district?	5	Y N/ N/A	Y	Water sources from rivers, canals, etc., should be managed from a central authority charged with maintaining adequate water quality. Evidence like permits, invoices, etc., are useful compliance evidence.
Irrigation / Water Use	2.08.05c	Do animals (domestic, livestock, or wild) have access to the water source?	7	Y N/ N/A	N	Animals (domestic, livestock, or wild) should not have access to the system due to the possibility of contamination occurrences.
Irrigation / Water Use	2.08.05d	Is it evident that the water source is free of contamination issues and are measures taken to minimize contamination of the water source?	10	Y N/ N/A	Y	A routine maintenance program should be in place that includes removal of all inappropriate materials (e.g. plant material, trash, animal carcasses). Filtration, documentation of animal intrusion, disinfection systems, etc. also may be part of the measures taken to minimize contamination.
Irrigation / Water Use	2.08.05e	Are records kept for periodic visual inspection and disinfection (if occurring) of the water source and available for review?	7	Y N/ N/A	Y	"Records" may include calendar books with commentary regarding what was checked, the condition, unusual occurrences, and any action taken. If using a disinfection injection system (e.g. chlorination), there should be monitoring logs completed on at least a daily basis. The appropriate support documentation should be available for review.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Irrigation / Water Use	2.08.05f	Are microbiological tests, including generic E.coli conducted on the water? If No, go to 2.08.05h	20	Y N/ N/A	Y	Microbial water testing including generic E.coli should occur on a routine basis. All water sources should be tested that are used for direct contact with the edible portion of a crop as well as non-contact water sources. The score for this question is "No" if test records are older than 12 months.
Irrigation / Water Use	2.08.05g	Are the microbiological tests current and conducted at the required and/or expected frequencies?	15	Y N/ N/A	Y	One sample per water source should be collected and tested prior to use and then ideally monthly, or at frequency relative to the associated risks. * For commodities under the CA Leafy Greens agreement, one sample per water source should be collected and tested prior to use if >60 days since the last test of the water source. Routine sampling should be collected no less than 18 hour apart and at least monthly during use.
Irrigation / Water Use	2.08.05h	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	Y N/ N/A	Y	There should be documented procedures in place detailing how water samples are taken in the field including stating how samples should be identified i.e. clearly naming the location that the sample was taken, the water source and the date (this is important in order to be able to calculate geometric means). Samples should be taken at a point as close to the point of use as possible where water contacts the crop, so as to test both the water source and the water distribution system.
Irrigation / Water Use	2.08.05i	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	Y N/ N/A	Y	Written procedures (SOPs) should exist covering corrective measures not only for the discovery of unsuitable or abnormal water results but also as a preparation on how to handle such findings.
Irrigation / Water Use	2.08.05j	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	20	Y N/ N/A	Y	For Generic E.coli (unless more stringent guidelines/laws in existence) <126MPN (or CFU)/100mL (rolling geometric mean n=5) and <235MPN (or CFU)/100mL for any single sample. Where thresholds have been exceeded there should be recorded corrective actions including investigations, water retests and crop testing (E.coli O157:H7 and Salmonella - zero tolerance). *
Irrigation / Water Use	2.08.05k	Are the crops irrigated by a micro irrigation or drip system?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.05l	Is overhead irrigation used to irrigate the crop or as part of a frost or freeze prevention program? NOTE: "Irrigating the crop" refers to irrigation during the mature growing cycle. This does not include pre-planting or just after planting to create a stand.	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.05m	Are the crops irrigated by flood irrigation or furrow system?	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.05n	Are the crops sub irrigated (also known as seepage irrigation)?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.06	Is reclaimed water used in the growing operation? NOTE: This refers to wastewater that has gone through a treatment process. If No, go to 2.08.07	0	Y N	Y	Wastewater that has been gone through a treatment process. Reclaimed water shall be subject to applicable local and national regulations and standards. Prior to using this water for agricultural purposes growers should check with regulatory bodies to determine the appropriate parameters and tolerances to be used.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Irrigation / Water Use	2.08.06a	Is the reclamation process under the direction of a water reclamation management or authority?	10	Y N/ N/A	Y	Reclaimed water should be treated with adequate disinfection systems and tested frequently, ideally under the direction of a water reclamation authority or other management body. Reclaimed water shall be subject to applicable local and national regulations and standards. Prior to using this water for agricultural purposes growers should check with regulatory bodies to determine the appropriate parameters and tolerances to be used.
Irrigation / Water Use	2.08.06b	Are microbial control measures for reclaimed water utilized?	15	Y N/ N/A	Y	Reclaimed water should be treated with adequate disinfection systems and tested frequently to ensure water quality standards are met. Reclaimed water shall be subject to applicable local and national regulations and standards. Prior to using this water for agricultural purposes growers should check with regulatory bodies to determine the appropriate parameters and tolerances to be used.
Irrigation / Water Use	2.08.06c	Are microbiological tests, including generic E.coli conducted on the water? If No, go to 2.08.06e	20	Y N/ N/A	Y	Microbial water testing including generic E.coli should occur on a routine basis. All water sources should be tested that are used for direct contact with the edible portion of a crop as well as non-contact water sources. The score for this question is "No" if test records are older than 12 months.
Irrigation / Water Use	2.08.06d	Are the microbiological tests current and conducted at the required and/or expected frequencies?	15	Y N/ N/A	Y	One sample per water source should be collected and tested prior to use and then ideally monthly, or at frequency relative to the associated risks. * For commodities under the CA Leafy Greens agreement, one sample per water source should be collected and tested prior to use if >60 days since the last test of the water source. Routine sampling should be collected no less than 18 hour apart and at least monthly during use.
Irrigation / Water Use	2.08.06e	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	Y N/ N/A	Y	There should be documented procedures in place detailing how water samples are taken in the field including stating how samples should be identified i.e. clearly naming the location that the sample was taken, the water source and the date (this is important in order to be able to calculate geometric means). Samples should be taken at a point as close to the point of use as possible where water contacts the crop, so as to test both the water source and the water distribution system.
Irrigation / Water Use	2.08.06f	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	Y N/ N/A	Y	Written procedures (SOPs) should exist covering corrective measures not only for the discovery of unsuitable or abnormal water results but also as a preparation on how to handle such findings.
Irrigation / Water Use	2.08.06g	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	20	Y N/ N/A	Y	For generic E.coli (unless more stringent guidelines/laws in existence) <126MPN (or CFU)/100mL (rolling geometric mean n=5) and <235MPN (or CFU)/100mL for any single sample. Where thresholds have been exceeded there should be recorded corrective actions including investigations, water retests and crop testing (E.coli O157:H7 and Salmonella - zero tolerance). *
Irrigation / Water Use	2.08.06h	Are the crops irrigated by a micro irrigation or drip system?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.06i	Is overhead irrigation used to irrigate the crop or as part of a frost or freeze prevention program? NOTE: "Irrigating the crop" refers to irrigation during the mature growing cycle. This does not include pre-planting or just after planting to create a stand.	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.06j	Are the crops irrigated by flood irrigation or a furrow system?	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Irrigation / Water Use	2.08.06k	Are the crops sub irrigated (also known as seepage irrigation)?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.07	Are tail water (run off water) systems used in the growing operation? If No, go to 2.08.08	0	Y N	Y	Tail water return systems catch spilled or runoff water and pump the water back to the top of the field.
Irrigation / Water Use	2.08.07a	Is surface water in adequate distance from untreated manure?	15	Y N/ N/A	Y	There should be approximately 100ft (30 m) separation for sandy soil and 200ft (61 m) separation for loam or clay soil (slope less than 6%);increase distance to 300ft (91 m) if slope is greater than 6%). Distance may increase or decrease depending on the risk variables e.g. topography (uphill or downhill). *
Irrigation / Water Use	2.08.07b	Do animals (domestic, livestock, or wild) have access to the tail water systems?	7	Y N/ N/A	N	Animals (domestic, livestock, or wild) should not have access to the system due to the possibility of contamination occurrences.
Irrigation / Water Use	2.08.07c	Is it evident that the water source is free of contamination issues and are measures taken to minimize contamination of the tail water system?	10	Y N/ N/A	Y	A routine maintenance program should be in place that includes removal of all inappropriate materials (e.g. plant material, trash, animal carcasses). Filtration, documentation of animal intrusion, disinfection systems, etc. also may be part of the measures taken to minimize contamination.
Irrigation / Water Use	2.08.07d	Are records kept for periodic visual inspection and disinfection (if occurring) of the water source and available for review?	7	Y N/ N/A	Y	"Records" may include calendar books with commentary regarding what was checked, the condition, unusual occurrences, and any action taken. If using a disinfection injection system (e.g. chlorination), there should be monitoring logs completed on at least a daily basis. The appropriate support documentation should be available for review.
Irrigation / Water Use	2.08.07e	Are microbiological tests, including generic E.coli conducted on the water? If No, go to 2.08.07g	20	Y N/ N/A	Y	Microbial water testing including generic E.coli should occur on a routine basis. All water sources should be tested that are used for direct contact with the edible portion of a crop as well as non-contact water sources. The score for this question is "No" if test records are older than 12 months.
Irrigation / Water Use	2.08.07f	Are the microbiological tests current and conducted at the required and/or expected frequencies?	15	Y N/ N/A	Y	One sample per water source should be collected and tested prior to use and then ideally monthly, or at frequency relative to the associated risks. * For commodities under the CA Leafy Greens agreement, one sample per water source should be collected and tested prior to use if >60 days since the last test of the water source. Routine sampling should be collected no less than 18 hour apart and at least monthly during use.
Irrigation / Water Use	2.08.07g	Do written procedures (SOPs) exist covering proper sampling protocols which include where samples should be taken and how samples should be identified?	10	Y N/ N/A	Y	There should be documented procedures in place detailing how water samples are taken in the field including stating how samples should be identified i.e. clearly naming the location that the sample was taken, the water source and the date (this is important in order to be able to calculate geometric means). Samples should be taken at a point as close to the point of use as possible where water contacts the crop, so as to test both the water source and the water distribution system.
Irrigation / Water Use	2.08.07h	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	Y N/ N/A	Y	Written procedures (SOPs) should exist covering corrective measures not only for the discovery of unsuitable or abnormal water results but also as a preparation on how to handle such findings.
Irrigation / Water Use	2.08.07i	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	20	Y N/ N/A	Y	For generic E.coli (unless more stringent guidelines/laws in existence) <126MPN (or CFU)/100mL (rolling geometric mean n=5) and <235MPN (or CFU)/100mL for any single sample. Where thresholds have been exceeded there should be recorded corrective actions including investigations, water retests and crop testing (E.coli O157:H7 and Salmonella - zero tolerance). *
Irrigation / Water Use	2.08.07j	Are the crops irrigated by a micro irrigation or drip system?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Irrigation / Water Use	2.08.07k	Is overhead irrigation used to irrigate the crop or as part of a frost or freeze prevention program? NOTE: "Irrigating the crop" refers to irrigation during the mature growing cycle. This does not include pre-planting or just after planting to create a stand.	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.07l	Are the crops irrigated by flood irrigation or furrow system?	0	Y N/ N/A	N	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.07m	Are the crops sub irrigated (also known as seepage irrigation)?	0	Y N/ N/A	Y	Information gathering question. Reducing contact with edible portion of the crop is believed to reduce microbial risk.
Irrigation / Water Use	2.08.08	Are check valves, anti-siphon devices, or other back flow prevention systems in use when and where necessary?	10	Y N/ N/A	Y	Irrigation systems should utilize effective devices which can minimize the potential risk of accidentally allowing any injected chemical/fertilize to flow back into the irrigation well, surface water source, or to discharge onto the land where not intended.
Irrigation / Water Use	2.08.09	Is irrigation equipment not in use free from pest contamination and stored clean, off the ground?	10	Y N/ N/A	Y	Irrigation equipment that is not in use should be stored in a hygienic manner, free of pest contamination and clean. Growers should check the unused irrigation periodically to make sure that it has not become a pest harborage area or become dirty due to rains.
Crop Protection	2.09.01	Is there a documented policy and/or procedures for the mixing/loading of crop protection materials?	5	Y N/ N/A	Y	Mixing and loading crop protection materials (insecticides, fungicides, herbicides, plant growth regulators, etc.) should be done as prescribed by prevailing national/ local standards and guidelines. All agricultural chemical additions, dilutions, etc. should be performed safely and within a distance where land and any water source may not be affected.
Crop Protection	2.09.01a	Is mixing, loading, or the dilution of crop protection materials performed safely and within a distance where the growing area and water sources are not affected?	7	Y N/ N/A	Y	Mixing and loading crop protection materials should be done as prescribed by prevailing national/ local standards and guidelines. All agricultural chemical additions, dilutions, etc. should be performed safely and within a distance where crop, growing areas and any water source may not be affected.
Crop Protection	2.09.02	Is there a documented policy and/or procedures for the rinsing and cleaning of crop protection equipment?	5	Y N/ N/A	Y	Rinsing and cleaning of all crop protection equipment should be done as prescribed by prevailing national/ local standards and guidelines. Care should be taken so that such activities are performed safely and within a distance where land and water sources may not be affected.
Crop Protection	2.09.02a	Is rinsing and cleaning of crop protection equipment performed safely and within a distance where land and water sources are not affected?	7	Y N/ N/A	Y	Rinsing and cleaning of all crop protection equipment should be done as prescribed by prevailing national/ local standards and guidelines. Care should be taken so that such activities are performed safely and within a distance where land and water sources may not be affected.
Crop Protection	2.09.03	Is there documentation that shows the individual(s) making decisions for crop protection are qualified?	10	Y N/ N/A	Y	Current valid certificates, licenses, another form of proof of training recognized by prevailing national/ local standards and guidelines should be available for the individual(s) making decisions on crop protection (e.g. choice of crop protection materials, application timings, rates etc.).
Crop Protection	2.09.04	Is there documentation that shows employees who handle crop protection materials are trained or are under the supervision of a trained individual?	15	Y N/ N/A	Y	Current valid certificates, licenses, or another form of proof of training recognized by prevailing national/ local standards and guidelines should be available for supervisors/ workers handling, mixing/loading/and applying crop protection products .

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Crop Protection	2.09.05	Does the growing operation follow a pesticide application recording program of all plant protection products (including soil and substrate pre-plant treatments)? If No, go to 2.09.06. If this question is answered No, automatic failure of this audit will result.	20	Y N/ N/A	Y	The growing operation should follow a pesticide application record keeping program that at least includes the applicator's name and certification number (if applicable). Month, day, and year of application; crop, commodity, or site to which the chemical was applied; product trade name, total amount applied; size of treatment area; and application location. Ideally records should detail active ingredient.
Crop Protection	2.09.05a	Are crop protection application records up to date and available for review?	15	Y N/ N/A	Y	Records should be up to date detailing any plant protection applications in the current season.
Crop Protection	2.09.06	Has the growing operation got registration information available about the plant protection products registered for use for the target crops in the country of production? If N/A, go to 2.09.07. If this question is answered NO, automatic failure of this audit will result.	20	Y N N/A	Y	Grower should have registration/label information for the plant protection products registered in the country of use for the target crop where official registration is in place. N/A is only allowed when registration information does not exist for plant protection products to be used in the target crop in the country of production in which case 2.09.07 and 2.09.07(a) must be answered. Where registration information exists, 2.09.06 (a) and (b) must be answered. Where registration information exists and it is not available at the growing operation, then answer to this question is NO and automatic failure of the audit will result.
Crop Protection	2.09.06a	Are crop protection applications restricted by the guidelines established by the product label, manufacturer recommendation, or by prevailing national/ local standards and guidelines? If this question is answered No, automatic failure of this audit will result.	20	Y N/ N/A	Y	Information should at least detail: ingredients, target pest(s)/organism(s), sites where the product may be used, application methods that are required or preferred, how much chemical should be applied, rate of application, whether there are any restrictions on use (such as temperature, time of day, season of the year, contamination of sensitive areas, exposure of non-target species, application methods that are prohibited, how often the pesticide should or may be applied, all restricted entry intervals (REI's) pertaining to existing uses, as applicable), maximum application rates per treatment and per year, pre-planting intervals (PPI's), pre-harvest intervals (PHI's) and storage and disposal guidelines.
Crop Protection	2.09.06b	Where harvesting is restricted by pre-harvest intervals (as required on the crop protection chemical product labels, manufacturer recommendations and/or by prevailing national/ local standards) is the grower adhering to these pre-harvest interval time periods? If this question is answered No, automatic failure of this audit will result.	20	Y N/ N/A	Y	Pre-harvest intervals specify the amount of time that must elapse between pesticide application and crop harvest. These intervals are established to allow sufficient time for the crop to metabolize (break down) the pesticide so residue levels do not exceed those originally established when the pesticide received its label.
Crop Protection	2.09.07	If applicable, for those plant protection products that are not registered for use on target crops in the country of production, if the country has no or a partial legislative framework to cover plant protection products, can the grower show that they have registration information, label information, MRL tolerances, etc. for the country of destination? If this question is answered No, automatic failure of this audit will result. If N/A, go to 2.09.08.	20	Y N/ N/A	Y	In the situation that the country of production has no or a partial legislative framework covering plant protection products and the use of crop protection products that are registered for the target crop in another country (extrapolation) is not prohibited, the grower must have information for the plant protection products in the country(ies) of destination (that information must be in the form of: registration for the specific crop, product labels Maximum Residue Limit tolerances and could also include, chemical banned lists, any other relevant guidelines or legislations). If there are not plant protection products being used in this situation, the answer to this question is not-applicable (N/A). If there is no information available for the plant protection product used that are not registered in the country of production or its use based on registration, label and other pertinent guidelines of the destination country (extrapolation) is prohibited by the country of production, the answer is NO and automatic failure of the audit will result. If N/A, go to 2.09.08.

Module 2 - GAP option (Sections 2.01 to 2.15)
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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Crop Protection	2.09.07 a	Is there evidence available that the grower is taking all the necessary measures to comply with the country(ies) of destination expectations regarding plant protection products use (registration information, label information, MRL tolerances and any other guidelines applicable)? If this question is answered No, automatic failure of this audit will result.	10	Y N/ N/A	Y	The grower should be able to provide evidence (practices and/or documentation) that shows that he is in compliance with the legislation he is adhering to in the country(ies) of destination for the plant protection products being applied. That evidence may be in the form of: chemical application methods and dosage, use of Personal Protective Equipment, compliance with re-entry and harvest intervals, employee training, compliance with MRL tolerances and any other relevant. If this question is answered No, automatic failure of this audit will result.
Crop Protection	2.09.08	Are employee re-entry intervals established as required by the pesticide label, manufacturer recommendation, or by prevailing national/ local standards and guidelines?	10	Y N/ N/A	Y	Re-entry interval is the period of time immediately following the application of a pesticide during which unprotected workers should not enter a field. Failure to observe the specified interval could potentially result in agricultural worker health and safety issues.
Crop Protection	2.09.09	When crop protection applications occur, does posting take place on area of treatment according to prevailing national/ local standards and guidelines?	10	Y N/ N/A	Y	Posting should be done in accordance to the pesticide label and prevailing national/ local standards and guidelines to protect agricultural workers from exposure to pesticides.
Crop Protection	2.09.10	To avoid drift, are crop protection applications restricted when gusts are excessive?	10	Y N/ N/A	Y	Including the activities of the farming operation's adjacent neighbors, crop protection applications should be restricted when gusts are excessive.
Crop Protection	2.09.11	If crop protection containers are stored on the property (even temporarily), are they stored in a manner to prevent contamination and disposed of responsibly?	10	Y N/ N/A	Y	Crop protection containers should be stored securely even if temporarily stored. Empty crop protection containers, excess crop protection rinsate should be disposed of safely according to the product label, manufacturer recommendation or by prevailing national/ local standards and guidelines.
Crop Protection	2.09.12	Have documented policies and/or procedures been developed for the monitoring of crop protection application equipment (e.g. calibration procedures, inspections, replacement)?	10	Y N/ N/A	Y	Procedures may include regular calibration, inspections, replacement, and maintenance of the crop protection equipment.
Crop Protection	2.09.12a	Is it evident that the equipment used for crop protection applications is in good working order?	10	Y N/ N/A	Y	All equipment used in crop protection applications should be in good working order so correct applications can be made thus reducing potential crop contamination or drift issues.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.01	Does the growing operation have a documented and implemented policy for dealing with employees who appear to be physically ill, or become ill while working?	10	Y N	Y	There should be a written policy supported by visual evidence that employees who appear to be physically ill or become ill while working are prohibited from contact with product. This policy should include actions for employees to take in the event of injury or illness. If labor is supplied by a contractor, a copy of the policy and/or procedures should be available.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.02	Does the growing operation have a documented and implemented policy regarding employees with open sores and wounds?	10	Y N	Y	There should be a written policy supported by visual evidence that employees with exposed boils, sores, infected wounds, or any other source of abnormal contamination should be prohibited from contact with product. All bandages must be covered with a non-porous covering such as latex or plastic gloves. If labor is supplied by a contractor, a copy of the procedures should be available.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.03	Does the growing operation have documented and implemented procedures describing the disposition of product that has come into contact with blood or other bodily fluids? If this question is answered No, automatic failure of this audit will result.	20	Y N	Y	Written procedures should be in place describing the disposition of product that has come into contact with blood or other bodily fluids. If labor is supplied by a contractor a copy of the policy should be available. If this question is answered No, automatic failure of this audit will result.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.04	Does the growing operation have documented and implemented policies prohibiting eating, drinking (including gum chewing) using tobacco in the growing area?	10	Y N	Y	There should be a written policy supported by visual evidence that eating (including chewing gum, drinking (other than drinking water (avoiding glass)), and tobacco use must be restricted to areas away from the growing area(s). If labor is supplied by a contractor, a copy of the policy should be available.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.05	Is there a food safety hygiene training program covering new and existing employees and are there records of these training events?	15	Y N	Y	There should be a formal training program to inform employees of the current policies and requirements of the company regarding hygiene. Frequency should be at the start of the season and then at some topics covered at least quarterly, but ideally monthly. Training material covering the content of the company policies and requirements regarding hygiene should be available.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.06	Are there operational toilet facilities provided? If NO, go to 2.10.07. If this question is answered No, the audit will result in an automatic failure.	20	Y N	Y	Toilet facilities should be available for employees. Privies (unplumbed outhouses) may be allowed only if they are in suitable condition meeting prevailing national/ local standards and guidelines. The term operational means that the toilets have water if they are flushing and that they flush.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.06a	Are toilet facilities placed within ¼ mile or 5 minutes walking distance of all employees?	10	Y N/ N/A	Y	Toilet facility placement should be within 1/4 mile or 5 minutes walking distance of where employees are located Or if more stringent, as per prevailing national/ local guidelines.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.06b	Are toilet facilities in a suitable location to prevent contamination to product, packaging, equipment and growing areas?	15	Y N/ N/A	Y	Placement of toilet facilities should be in a suitable location to prevent contamination to product, packaging, equipment and growing areas.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.06c	Is a minimum of one toilet facility provided for each group of 20 employees?	5	Y N/ N/A	Y	At least one toilet per 20 employees should be provided Or if more stringent, as per prevailing national/ local guidelines.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.06d	Do toilet facilities have visuals or signs, written in the appropriate languages, reminding employees to wash their hands before returning to work?	20	Y N/ N/A	Y	Toilet facilities should have visuals or signs written in the appropriate languages, reminding employees to wash their hands before returning to work. The visuals or signs should be placed in key areas where employees can easily see them.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.06e	Are the toilets maintained in a clean and sanitary condition and are there records showing toilet cleaning, servicing and stocking is occurring regularly?	10	Y N/ N/A	Y	Toilets should be maintained in a clean and sanitary condition. Servicing records (either contracted or in-house) should be available for review showing toilet cleaning, servicing and stocking is occurring regularly. Toilet paper should be available at each toilet location and maintained in a hygienic manner (held on rolls, not be placed in urinals or on the floor). Soiled tissue should not be placed in trash cans and/or on the floor.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.06f	Are the catch basins of the toilets designed and maintained to prevent contamination (e.g. free from leaks and cracks)?	5	Y N/ N/A	Y	Catch basins from toilets must be designed and maintained properly to prevent contamination. Catch basins should be free of leaks, cracks and constructed of materials that will not degrade or decompose. NOTE: This includes flooring of the portable toilet units where contamination could be a potential issue.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.06g	Is there a documented and implemented procedure for emptying the catch basin in a hygienic manner and also in a way that prevents product, packaging, equipment, water systems and growing area contamination?	5	Y N/ N/A	Y	If self contained toilets are used, the toilet basins should be emptied, pumped, and cleaned in a manner to avoid contamination to product, packaging, equipment, water systems and growing area(s). Equipment used in emptying/pumping must be in good working order. A documented policy should exist and if occurring at the time of the inspection, the policy should be followed. The policy should include a response plan for major leaks or spills.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.07	Is there evidence of human fecal contamination in the growing area(s)? If this question is answered Yes, automatic failure of this audit will result.	20	Y N	Y	There should be no evidence of human fecal contamination in the growing area, proximity to the growing area (within a distance where the crop in question may be affected), or any of the storage areas. If this question is answered Yes, automatic failure of this audit will result.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.08	Are there operational hand washing facilities provided? If No, go to 2.10.09.	15	Y N	Y	Hand wash stations should be provided for employees to wash their hands as needed. Operational meaning with water and drainage system.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.08a	Are the hand washing facilities placed within ¼ mile or 5 minutes walking distance of all employees?	10	Y N/ N/A	Y	Hand washing facilities should be within 1/4 mile or 5 minutes walking distance of where employees are located or if more stringent, as per prevailing national/ local guidelines.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.08b	Are hand wash stations clearly visible (e.g. situated outside the toilet facility) and easily accessible to workers?	5	Y N/ N/A	Y	So employee's hand washing activities can be verified, hand wash stations should be clearly visible (i.e. situated outside the toilet facility) and easily accessible to workers.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.08c	Are hand wash stations properly stocked with soap, paper towels and trash can?	5	Y N/ N/A	Y	All hand washing facilities must be stocked with soap. Liquid/foam/powder with single use pump dispenser method preferred over communal bar type. To reduce the spreading of germs, single-use towels available at all hand washing facilities. Are trash cans provided for soiled paper towels.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.08d	Are the hand wash stations designed and being maintained to prevent contamination onto the growing area(s) (i.e. spent water does not go straight to the ground)?	5	Y N/ N/A	Y	Hand wash stations should be free of clogged drains, designed and maintained properly to capture or control rinse water that could cause contamination onto product, packaging, equipment and growing area(s).
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.08e	Does the growing operation have a documented and implemented policy and procedure in place requiring employees to wash their hands (e.g. prior to beginning work, after breaks, after toilet use)?	10	Y N/ N/A	Y	There should be a written policy supported by visual evidence that employees are required to wash their hands prior to beginning work, after breaks, after using the toilets etc. Other times when hand washing might be appropriate especially if around the growing crop include after using a tissue, after touching chemicals and at any point where hands maybe contaminated with a substance that if this substance was to come into contact with the edible portion of the crop, it would be a food safety concern.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.09	Is fresh potable drinking water provided for workers? If No, go to 2.10.10	10	Y N	Y	Fresh potable water meeting the quality standards for drinking water should be available for employees on site to prevent dehydration.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.09a	If used, are water containers maintained in a clean condition?	5	Y N/ N/A	Y	Water containers should be maintained in a clean condition, free from residues and contamination to ensure employees are not adversely affected by contaminated water from unclean containers.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.10	Are first-aid kits available and is the inventory maintained properly?	5	Y N	Y	There should be a first-aid kit available that is stocked with inventory (e.g. disposable gloves, bandages) and accessible for employees. All date coded materials are within expiry dates.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.11	Are there trash cans available on the field placed in suitable locations?	5	Y N	Y	There should be adequate measures for trash disposal so that the growing and storage areas are not contaminated. Containers (e.g. dumpsters, cans) should be available and placed in suitable locations for the disposal of waste and trash.
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.12	Are there any foreign material issues observed that are or could be potential risks to the product in the growing area(s) (e.g., jewelry)?	5	Y N	N	There should be no foreign material issues that are or could be potential risks to the product in the growing area(s) (e.g. jewelry).
Field Employee Hygiene (<i>Applies to on-the-farm or greenhouse workers not the harvesting workers</i>)	2.10.13	Is there a documented and implemented policy that infant or toddler aged children are not allowed in the growing area? NOTE: This includes any packaging or equipment storage areas.	10	Y N	N	There is a written policy supported by visual evidence that infant or toddler aged children are not allowed in the growing operation as well as in or around any packaging, chemical or equipment storage areas.
Harvesting Inspections, Policies and Training	2.11.01	Have self-audits been completed for this harvest crew?	5	Y/N	Y	Self-audits should be done to identify problems and/or situations which need improvement. Frequency of inspections should be established depending on the type of harvesting activity associated risk pressures. Self-audits are designed to identify problems and/or situations which need improvement in advance. Records should show where corrective actions have been made.
Harvesting Inspections, Policies and Training	2.11.02	Was a pre-harvest inspection performed on the block being harvested and was the block cleared for harvest? If No, go to 2.11.03.	5	Y/N	Y	A pre-harvest block inspection should have been performed and if harvesting is occurring, it should show if there are any harvesting restrictions etc. The harvest crew might not have a copy of the actual inspection, but they should have a document indicating which blocks have been inspected and cleared for harvest. If answer No, go to 2.11.03.
Harvesting Inspections, Policies and Training	2.11.02a	Where pre-harvest inspections have discovered issues, have buffer zones been clearly identified and at the time of the audit, are these buffer zones being respected?	15	Y/N/NA	Y	Where pre-inspections have discovered issues e.g. flooding, animal intrusion issues, have the buffer zones been implemented e.g. 30ft (9.1m) from flooded areas, 5ft (1.5m) from evidence of pest activity - use larger buffer zones if national and local laws are more stringent.
Harvesting Inspections, Policies and Training	2.11.03	Are there records of daily pre-operation inspections that check key aspects of equipment hygiene, personal hygiene, etc.?	5	Y/N	Y	Recorded pre-inspections should be designed to cover the key basic issues attributed to the type of harvesting and particular crop being harvested. Aspects to be considered would include equipment hygiene, tool hygiene, and personnel hygiene. Use of ATP is an optional recommendation, but where used, should be recorded properly along with any required corrective actions.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvesting Inspections, Policies and Training	2.11.04	Is there a documented and implemented policy that when commodities are dropped on the ground they are discarded? (Non-applicable for commodities such as tubers, root crops, etc.)	5	Y/N/NA	Y	There should be a documented policy that if products are dropped on ground the products are discarded. Staff should be trained regarding this policy and records of training maintained. Non-applicable for tubers and root crops.
Harvesting Inspections, Policies and Training	2.11.05	Is there a food safety hygiene training program covering new and existing employees and are records of these training events?	15	Y/N/	Y	There should be a formal training program to inform employees of the current policies and procedures and requirements of the company regarding hygiene. Frequency should be at the start of the season and then some topics covered at least quarterly, but ideally monthly. Training material covering the content of the company policies/procedures (which includes those items asked in this audit) and requirements regarding hygiene should be available.
Harvesting Inspections, Policies and Training	2.11.06	Is there a documented and implemented policy stating what happens when harvesters find evidence of animal intrusion e.g. fecal material?	5	Y/N	Y	There should be a documented and implemented policy stating what happens if harvesting staff find evidence of animal intrusion e.g. fecal material. The policy should cover recorded training of staff regarding this policy, potential corrective actions e.g. product disposal, buffer zones, equipment cleaning and recording of the corrective actions.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.01	Are there any employees observed with improperly covered open wounds?	5	Y/N	N	There should be no employees in harvesting with exposed boils, sores, infected wounds, or any other source of abnormal contamination. All bandages must be covered with a Non-porous covering such as latex or plastic gloves.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.02	Are any employees eating and drinking (other than water) in active harvest areas, areas yet to be harvested, near harvested product or storage areas?	5	Y/N	N	Eating and drinking (other than water), including gum chewing must be restricted to areas away from production to prevent contamination of product, packaging, equipment, and the growing.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.03	Are any employees using tobacco products in active harvest areas, areas yet to be harvested, near harvested product or storage areas?	5	Y/N	N	Smoking or chewing tobacco must be restricted to areas away from production to prevent contamination of product, packaging, equipment, and the growing area. There should be no evidence of spitting. Cigarette butts should be disposed of appropriately.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.04	Is it evident the clothing harvesters are wearing is not posing a cross contamination risks?	5	Y/N	Y	Harvesters clothing should not be a cross contamination issues in terms of cleanliness.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.05	Is it evident that employees are free of exposed jewelry (that may pose a foreign contamination issue) except for a single plain ring?	5	Y/N	Y	There should be no employees wearing loose objects above the waist (e.g., jewelry) except for a single plain ring.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.06	Where gloves are required to be used by the auditee, are they appropriate for the type of harvesting (e.g., not using cotton gloves for harvesting a product such as lettuce) and are they in good working order?	5	Y/N/NA	Y	If the operation requires the use of gloves for the harvesting crew employees, then the gloves need to be fit for the purpose intended. For example, cotton gloves trap moisture and get dirty easily, therefore are not ideal for an activity such as lettuce harvesting.

Module 2 - GAP option (Sections 2.01 to 2.15)
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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.06a	Where gloves are used, are they latex-free?	0	Y/N/N/A	Y	Information gathering question. Some people are allergic to latex proteins. Using alternatives to latex gloves (especially powdered latex gloves) should be considered.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.07	If any protective clothing is used by the auditee (e.g., gloves, aprons, sleeves) are they removed prior to using restrooms, going on breaks, etc?	5	Y/N/N/A	Y	If outer garments (e.g., gloves, aprons) are used, these should be removed prior to using the restrooms, going on break, etc. The use of outer garments is mandated if "in-field processing" is performed. See question 2.13.09c for further details.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.07a	Are secondary hand sanitation stations (e.g., hand dip, gel or spray stations) adequate in number and location? Are the stations maintained properly? <u>NOTE: Secondary hand sanitation does not replace hand washing requirements (lack surfactant qualities).</u>	5	Y/N/N/A	Y	Secondary hand sanitation stations (non-perfumed) should be located near hand washing and other easily accessible areas. Secondary hand sanitizers are optional for crops with an inedible skin or a commodity that requires cooking prior to eating. Hand gel / spray stations should be well stocked. Hand dips where used should be tested regularly to ensure they are at the required strength - checks should be recorded. Secondary hand sanitizers lack surfactant qualities, therefore <u>does not replace hand washing requirements.</u>
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08	Are there operational toilet facilities provided? If this question is answered No, the audit will result in an automatic failure. If No, go to 2.12.09	20	Y/N	Y	The term operational means that the toilets have water, if they are flushing toilet they flush etc. Toilet facilities should be adequately ventilated, appropriately screened, have self-closing doors that can be closed. Privies (unplumbed outhouses) may be allowed <i>only</i> if they are in suitable condition meeting prevailing national/ local standards and guidelines. http://health.state.ga.us/pdfs/environmental/290-5-27.pdf . http://www.who.int/water_sanitation_health/hygiene/om/linkingchap8.pdf
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08a	Are toilet facilities located in a suitable area and within ¼ mile or 5 minutes walking distance of all employees?	10	Y/N/N/A	Y	Placement of toilet facilities should be in a suitable location to prevent contamination to product, packaging, equipment, and growing areas. Toilet facility placement should be within 1/4 mile or 5 minutes walking distance of where harvesting crews are located or if more stringent, as per prevailing national/ local guidelines.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08b	Are toilet facilities in a suitable location to prevent contamination to product, packaging, equipment, and growing areas?	15	Y/N/N/A	Y	Placement of toilet facilities should be in a suitable location to prevent contamination to product, packaging, equipment, and growing areas. Consideration should be given when portable units are used that they are not parked (if on trailers) too close to the edge of the crop.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08c	Are separate toilet facilities provided for men and women in groups larger than 5 employees?	5	Y/N/N/A	Y	There should be separate toilet facilities provided for men and women in groups larger than 5 employees or if more stringent, as per prevailing national/ local guidelines.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08d	Is a minimum of one toilet facility provided for each group of 20 employees?	10	Y/N/N/A	Y	At least one toilet per 20 employees should be provided or if more stringent, as per prevailing national/ local guidelines.

Module 2 - GAP option (Sections 2.01 to 2.15)
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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08e	Do toilet facilities have visuals or signs, written in the appropriate languages, reminding employees to wash their hands before returning to work?	5	Y/N/N/A	Y	Toilet facilities should have visuals or signs written in the appropriate languages, reminding employees to wash their hands before returning to work. The visuals or signs should be permanent and placed in key areas where employees can easily see them.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08f	Are toilets supplied with toilet paper and is the toilet paper maintained properly (e.g. toilet paper rolls not stored on the floor or in the urinals)?	5	Y/N/N/A	Y	Toilet paper should be provided in a suitable holder in each toilet facility. Toilet paper should be maintained properly (e.g. toilet paper rolls not stored on the floor or in the urinals).
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08g	Are the toilets maintained in a clean condition?	10	Y/N/N/A	Y	Toilet facilities shall be operational and maintained in clean and sanitary condition Soiled tissue should not be placed in trash cans, urinals, or on the floor. Effective odor control should be practiced at all toilet facilities.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08h	Are toilets constructed of materials that are easy to clean?	2	Y/N/N/A	Y	Toilet facilities should be constructed of non porous materials that are easy to clean and sanitize.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08i	Are the toilet's construction materials of a light color allowing easy evaluation of cleaning performance?	2	Y/N/N/A	Y	Toilet's should be constructed of materials light in color allowing easy evaluation of cleaning performance.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08j	Is there a documented and implemented policy that if portable toilets are used, waste is disposed of properly and the units are cleaned in an appropriate location?	5	Y/N/N/A	Y	For portable toilets there should be a documented and implemented procedure available covering emptying and cleaning. The concern is that waste might be disposed of inappropriately causing contamination in or near the growing area, equipment and storage areas. If there is an on the farm designated "wash out" and waste disposal site, then the area must be in a suitable condition meeting prevailing national/ local standards and guidelines which pose no threat for contamination.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08k	Are there toilet cleaning records and for portable toilets, are there servicing records?	2	Y/N/N/A	Y	There should be cleaning records available for toilets. Frequency depends on use, but usually the baseline is daily for regular harvest crews. Portable toilets should be emptied and serviced regularly to prevent overflow. Servicing records (either contracted or in-house) should be available for review.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08l	If used, are catch basins of the toilets designed and maintained to prevent contamination (e.g. free from leaks and cracks)?	5	Y/N/N/A	Y	Catch basins from toilets must be designed and maintained properly to prevent contamination onto field, product, packaging, and equipment. Catch basins should be free of leaks, cracks and constructed of durable materials that will Not degrade or decompose such as wood.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.08m	Are the toilet catch basins emptied properly?	5	Y/N/N/A	Y	If self contained toilets are used, the toilet basins should be emptied/ pumped in a manner to avoid contamination to product, packaging, equipment, and growing areas. Equipment used in emptying/pumping must be in good working order.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.09	Is there evidence of human fecal contamination in the harvesting area? If this Yes, an automatic failure of the audit will occur.	20	Y/N	N	There should be no evidence of human fecal contamination in the harvesting area, area being harvested, packaging area, equipment area, or in any other area that would cause a contamination issue.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.10	Are operational hand washing facilities provided? If No, go to 2.12.11, If this question is answered No, an automatic failure of the audit will occur.	20	Y/N	Y	Operational "Hand washing facility" means a facility providing either a basin, container, or outlet with an adequate supply of potable water.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.10a	Are the hand washing facilities placed within ¼ mile or 5 minutes walking distance of all employees?	15	Y/N/N/A	Y	Toilet and hand washing facilities should be accessibly located an in close proximity to each other. Hand washing facilities should be provided and placed within 1/4 mile or 5 minutes walking distance of the harvest crew or if more stringent, as per prevailing national/ local guidelines.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.10b	Are hand wash stations clearly visible (e.g. situated outside the toilet facility) and easily accessible to workers?	2	Y/N/N/A	Y	So employee's hand washing activities can be verified, hand wash stations should be clearly visible (i.e. situated outside the toilet facility) and easily accessible to workers.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.10c	In the event of running out of toilet materials (e.g., water, soap, toilet tissue, hand paper towels) are there extra supplies readily available so that toilets can be restocked quickly?	5	Y/N/N/A	Y	There should be readily available an extra stock of fresh water, soap, toilet paper and paper towels, etc. in the event that replenishment is needed while harvesting is occurring.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.10d	Is soap made available at all hand washing facilities? If No, go to 2.12.10f	10	Y/N/N/A	Y	All hand washing facilities must be stocked with soap. Liquid/foam/powder with single use pump dispenser method preferred over communal bar type.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.10e	Is non-perfumed soap available?	5	Y/N/N/A	Y	Soap should be non-perfumed and have emulsifying capabilities to aid in the hand washing procedure.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.10f	Are single-use towels available at all hand washing facilities and trash cans for them?	10	Y/N/N/A	Y	To reduce the spreading of germs, single-use towels available at all hand washing facilities. Trash cans should be supplied for used towels.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.10g	Are the hand wash stations designed and maintained properly (e.g. ability to capture or control rinse water to prevent contamination onto product, packaging, and growing area, free of clogged drains, etc)?	5	Y/N/N/A	Y	Hand wash stations should be free of clogged drains, designed and maintained properly to capture or control rinse water that could cause contamination onto product, packaging, equipment, and growing area.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvesting Employee Activities & Sanitary Facilities (Applies to harvesting workers)	2.12.10h	Are the employees washing their hands prior to beginning work? Score NA if this discipline is not observed at the time of the audit.	10	Y/N/N/A	Y	To prevent contamination to product, packaging, and equipment, employees should wash their hands prior to beginning work. Also after sneezing, placing their hands in their pockets and at any other point when cross contamination could occur. It also must be evident that employee's fingernails are kept clean and trimmed.
Harvesting Employee Activities & Sanitary Facilities (Applies to harvesting workers)	2.12.10i	Are the employees washing their hands after break periods? Score NA if this discipline is not observed at the time of the audit.	10	Y/N/N/A	Y	To prevent contamination to product, packaging, and equipment, employees should wash their hands after break periods. It also must be evident that employee's fingernails are kept clean and trimmed. If employees hands come into contact with mucous, hands must be washed.
Harvesting Employee Activities & Sanitary Facilities (Applies to harvesting workers)	2.12.10j	Are the employees washing their hands after using the toilet facilities? Score NA if this discipline is not observed at the time of the audit.	15	Y/N/N/A	Y	To prevent contamination to product, packaging, and equipment, employees should wash their hands after using toilet facilities. It also must be evident that employee's fingernails are kept clean and trimmed.
Harvesting Employee Activities & Sanitary Facilities (Applies to harvesting workers)	2.12.10k	Is it evident that corrective action is taken when employees fail to comply with hand washing guidelines?	5	Y/N/N/A	Y	It should be evident that corrective action is taken by a supervisor in charge when employees fail to comply with hand washing requirements.
Harvesting Employee Activities & Sanitary Facilities (Applies to harvesting workers)	2.12.11	Is fresh potable drinking water readily accessible to employees.? If No, go to 2.12.12.	7	Y/N	Y	Water should be suitably cool and in sufficient amounts, taking into account the air temperature, humidity and the nature of the work performed, to meet the needs of all employees. Potable water should be provided and placed in locations readily accessible to all employees. Potable meaning drinking water quality e.g. the EPA Drinking Water Standard.
Harvesting Employee Activities & Sanitary Facilities (Applies to harvesting workers)	2.12.11a	Are the water containers maintained in a clean condition?	5	Y/N/N/A	Y	Water containers should be maintained in a clean condition, free from residues and contamination to ensure employees are not adversely affected by contaminated water from unclean containers.
Harvesting Employee Activities & Sanitary Facilities (Applies to harvesting workers)	2.12.11b	Are single use cups provided (unless a drinking fountain is used) made available near the drinking water?	7	Y/N/N/A	Y	Water should be provided so that cross contamination issues are avoided from person to person. Examples include single-use paper cups, drinking fountains, etc.
Harvesting Employee Activities & Sanitary Facilities (Applies to harvesting workers)	2.12.12	Are first-aid kits available and is the inventory maintained properly?	5	Y/N	Y	There should be a first-aid kit available that is stocked with inventory (e.g. disposable gloves, bandages) and accessible for employees. All date coded materials are within expiry dates.
Harvesting Employee Activities & Sanitary Facilities (Applies to harvesting workers)	2.12.13	If observed, are all commodities that come in contact with blood destroyed? If this question is answered No, an automatic failure of the audit will occur.	20	Y/N/N/A	Y	Any commodity that comes into contact with blood must be destroyed. If this occurs during the time of inspection, auditor must witness that product is destroyed.

Module 2 - GAP option (Sections 2.01 to 2.15)
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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.13a	Is there a documented and implemented policy and procedure in place and available for all commodities that come in contact with blood to be destroyed?	5	Y/N/N/A	Y	There should be a documented policy and procedure that is communicated to harvest crew workers detailing that if product has come into contact with blood, all affected product must be destroyed. Special attention should be given to those crops where tools /equipment (e.g., knives, scissors) is used.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.14	Is garbage disposed of properly in the harvested and non harvested areas?	10	Y/N	Y	Waste and garbage must be removed on a frequent basis to prevent contamination from occurring. Receptacles should be kept covered or closed to prevent contamination and attraction of pests.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.15	Are garbage containers provided in the field for the disposal of food and beverage containers, cups, and paper towels? If No, go to 2.12.16	5	Y/N	Y	Garbage containers should be provided in the field for the disposal of food and beverage containers, cups, and paper towels.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.15a	Are garbage containers constructed and maintained (e.g. bags, lids) to protect against pre harvest or post harvest contamination of the crop?	5	Y/N/N/A	Y	Garbage containers should be constructed and maintained in such a manner with liners, bags, lids, etc.) that protects against pre harvest or post harvest contamination of the crop. Receptacles should be kept covered or closed to prevent attraction of pests. Liners are important so trash can be removed easily.
Harvesting Employee Activities & Sanitary Facilities <i>(Applies to harvesting workers)</i>	2.12.16	Have any potential metal, glass, or plastic contamination issues been controlled?	5	Y/N	Y	Examples include but are not limited to glass bottles, unprotected lights on equipment, staples on wooden crates, hair pins, using "snappable" blades instead of one piece blades, broken and brittle plastic issues on re-useable totes.
Harvest Practices	2.13.01	Is there evidence of animal presence and/or animal activity in the harvesting area? If answer is NO, go to Q 2.13.02.	15	Y N	N	Animals can represent potential contamination to the harvesting area, to the crop, to the field equipment and other, therefore, animals should not be present in the operations. Evidence of animal presence can be tracks, fecal matter, feathers and many others. If answer is NO, go to Q 2.13.02.
Harvest Practices	2.13.01a	Is the evidence of animal presence and/or animal activity found, in the form of fecal contamination? If answer is NO, go to Q 2.13.02.	20	Y/N/N/A	N	Animal fecal matter has the potential of representing contamination to the product being grown. Produce that has come into direct contact with fecal material is not to be harvested. A "no harvest zone" approx. 5ft (1.5 m) radius should be implemented unless or until adequate mitigation measures have been considered. If evidence of fecal material is found, a food safety assessment should be conducted by qualified personnel. This question is "no" if the grower has already noted this issue and performed adequate corrective actions. Consideration of the maturity stage and type of crop involved is required. If answer is NO, go to Q 2.13.02.

Module 2 - GAP option (Sections 2.01 to 2.15)
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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvest Practices	2.13.01b	Is the fecal matter found in the audited area, a systematic event (not sporadic)? If this question is answered Yes, automatic failure of this audit will result.	20	Y/N/N/A	N	Animal fecal matter has the potential of representing contamination to the product being grown. Produce that has come into direct contact with fecal material is not to be harvested. A "no harvest zone" approx. 5ft (1.5 m) radius should be implemented unless or until adequate mitigation measures have been considered. If evidence of fecal material is found, a food safety assessment should be conducted by qualified personnel. This question is "no" if the grower has already noted this issue and performed adequate correct actions. Consideration of the maturity stage and type of crop involved is required. If this question is answered Yes, automatic failure of this audit will result.
Harvest Practices	2.13.02	Is the product harvested and transported to a facility for additional handling and/or final packing?	0	Y/N	Y	This question refers to product that is harvested in the field and then taken to a facility for handling and or packing.
Harvest Practices	2.13.03	Is the product packed in the final packing unit in the field ? If No, go to 2.13.04.	0	Y/N	Y	This question refers to product packed in the field that is in the final unit for shipping (i.e. clamshell, wrapped products, carton boxes, etc.), that usually bypasses any selection packing lines in a facility i.e. goes to a cooling process as opposed to a packing line.
Harvest Practices	2.13.03a	Is packing material (e.g. cartons, bags, clamshells, sacks, RPCs) intended for carrying product used for that purpose only?	5	Y/N/N/A	Y	All containers intended for product should not be used for any other purpose than product storage.
Harvest Practices	2.13.03b	Is packing material free from evidence of pest activity, foreign materials and other signs of hazardous materials? If this question is answered No, an automatic failure of the audit will occur.	20	Y/N/N/A	Y	Packing material should be free from evidence of pest activity, foreign materials and other signs of hazardous materials.
Harvest Practices	2.13.03c	Is packed product free from evidence of pest activity, foreign materials, hazardous materials and any adulteration issues? If this question is answered No, an automatic failure of the audit will occur.	20	Y/N/N/A	Y	Packed product should be free from evidence of pest activity, foreign materials, hazardous materials and any adulteration issues.
Harvest Practices	2.13.03d	Is product and packing material free from exposure to the ground and or any handling contamination?	5	Y/N/N/A	Y	Avoid stacking soiled bins on top of each other if the bottom of the bin has had direct contact with soil. Product and packing materials used in the harvesting process should be placed with protection underneath and handled in a manner to eliminate contamination from the ground or from inappropriate human handling.
Harvest Practices	2.13.03e	Does the operation inspect packaging prior to use and is packed product inspected after packing; where contamination issues are found is corrective action taken and record?	5	Y/N/N/A	Y	The operation should be actively inspecting packaging materials prior to use and also checking packed product after the packing process. If any contamination issues are found, then corrective actions should be enacted and recorded.
Harvest Practices	2.13.03f	If packing material is left in the field overnight is it secured and protected?	5	Y/N/N/A	Y	All containers, cartons, packing material should be stored in a protected area to reduce the risk of contamination and tampering that can occur if cartons are left in field overnight.
Harvest Practices	2.13.04	Are grading and packing tables used? If No, go to 2.13.05.	0	Y/N	N	This refers to food contact surfaces used to grade, inspect, re-pack, or pack product.
Harvest Practices	2.13.04a	Does the surface allow for easy sanitation?	5	Y/N/N/A	Y	Packing surfaces should be made of materials suitable for food contact that can be easily cleaned. Surfaces that are porous, trap debris, badly damaged should be replaced. Wood for example is porous and can trap moisture.

Module 2 - GAP option (Sections 2.01 to 2.15)
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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvest Practices	2.13.04b	Are grading and packing tables subject to a documented cleaning program including stating the frequency of cleaning and cleaning procedures? If No, go to 2.13.05.	5	Y/N/N/A	Y	There should be evidence of a sanitation program in place for packing tables, bins, etc. The program should state the frequency of cleaning and the cleaning procedures.
Harvest Practices	2.13.04c	Is an anti-microbial solution (e.g. chlorinated or equivalent) used to sanitize the grading and packing tables after cleaning has occurred?	5	Y/N/N/A	Y	Anti-microbial solutions, if properly managed help ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis and recorded.
Harvest Practices	2.13.04d	Are records of grading and packing tables equipment cleaning being maintained?	5	Y/N/N/A	Y	There should be cleaning and sanitizing records showing that the sanitation program is being maintained.
Harvest Practices	2.13.05	Are re-useable containers (e.g. buckets, field totes, lugs, bins) used in the harvesting operation? If No, go to 2.13.06.	0	Y/N	N	This refers to any re-useable containers used in the harvesting operation (e.g., buckets, field totes, lugs, bins, gondolas) used in the harvesting operation.
Harvest Practices	2.13.05a	Are re-useable containers made of easy to clean materials?	5	Y/N/N/A	Y	All re-useable containers (totes, bins, buckets, etc) should be made of easy to clean, smooth seamed materials that do Not flake or oxidize. Efforts should be made to eliminate wooden surfaces because of its porous nature.
Harvest Practices	2.13.05b	Are re-useable containers subject to a documented cleaning program including stating the frequency of cleaning and cleaning procedures? If No, go to 2.13.05e.	5	Y/N/N/A	Y	There must be evidence that a sanitation program is in place for re-useable containers. The program should state the frequency of cleaning and the cleaning procedures.
Harvest Practices	2.13.05c	Is an anti-microbial solution (e.g. chlorinated or equivalent) used to sanitize the re-useable containers after cleaning has occurred?	5	Y/N/N/A	Y	Antimicrobial solutions, if properly managed ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis.
Harvest Practices	2.13.05d	Are records of re-useable containers cleaning being maintained?	5	Y/N/N/A	Y	There should cleaning and sanitizing records showing that the sanitation program is being maintained.
Harvest Practices	2.13.05e	Are re-useable containers free from any handling contamination?	5	Y/N/N/A	Y	Re-useable containers used in the harvesting process should be managed to eliminate contamination from inappropriate handling practices.
Harvest Practices	2.13.06	Are tools (e.g. knives, clippers, scissors, etc.) used in harvesting? If No, go to 2.13.07.	0	Y/N	N	This refers to harvest tools (e.g. knives, clippers, scissors, etc.) used in harvesting.
Harvest Practices	2.13.06a	Are harvest tools (e.g. knives, coring rings, holsters) being used, made of non corrosive and easy to clean materials (e.g. no wood or fabric parts)?	5	Y/N/N/A	Y	To prevent foreign contamination issues, harvest tools (e.g., knives, coring rings, etc.) should be constructed of easy to clean materials. Tools should be shard free, smooth seamed that do Not have ability to flake or oxidize.
Harvest Practices	2.13.06b	Are harvest tools not being taken into break or toilet areas or used for any other purpose other than product harvesting?	5	Y/N/N/A	Y	In order to prevent contamination, harvest tools (e.g., knives, coring rings, etc.) should not be taken into break/toilet areas or used for any other purpose other than product harvesting.
Harvest Practices	2.13.06c	Are harvest tools free from exposure to the ground and or any handling contamination?	5	Y/N/N/A	Y	Harvest tools (knives, clippers, scissors, etc.) should be free from exposure to the ground and or any handling contamination.
Harvest Practices	2.13.06d	Is there an equipment and utensil (e.g. knives) storage and control procedures when not in use?	5	Y/N/N/A	Y	Employees should not be taking tools such as knives from the work area and should be required to use knife scabbards that can easily be cleaned i.e. non-porous. Leather scabbard should not be used.
Harvest Practices	2.13.06e	Are harvest tools subject to a documented cleaning program including stating the frequency of cleaning and cleaning procedures? If No, go to 2.13.06h.	5	Y/N/N/A	Y	There must be evidence that a sanitation program is in place for harvesting tools. The program should state the frequency of cleaning and the cleaning procedures. Dipping of harvest tools in anti-microbial solution in the harvesting process, might also be required, please see later question.

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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvest Practices	2.13.06f	Is an anti-microbial solution (e.g. chlorinated or equivalent) used to sanitize the harvesting tools after cleaning has occurred?	5	Y/N/N/A	Y	Antimicrobial solutions, if properly managed ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis and recorded. Solutions too weak may be ineffective, while those too strong might cause residue issues.
Harvest Practices	2.13.06g	Are records of harvesting tools cleaning being maintained?	5	Y/N/N/A	Y	There should be cleaning and sanitizing records showing that the sanitation program is being maintained.
Harvest Practices	2.13.06h	Are harvesting tool dips being maintained properly in terms of anti-microbial solution strength and are records of the solutions checks being maintained? AUDITORS SHOULD REQUIRE A TEST AT THE TIME OF THE AUDIT.	5	Y/N/N/A	Y	There should be records to show that the knife dip solutions are being maintained on a regular basis. The strength of sanitizers should be checked on a regular basis e.g. hourly and recorded, minimum strength for a chlorinated system is >1ppm free chlorine or >650mV. Total chlorine does not measure the "available chlorine" after the dip has started to be used. AUDITORS ARE INSTRUCTED TO REQUIRE A TEST AT THE TIME OF THE AUDIT.
Harvest Practices	2.13.07	Is machinery used in the harvesting process? If No, go to 2.13.08.	0	Y/N	N	This includes equipment with the potential to affect product (e.g., conveyor belts, mechanical harvesting units, field packing rigs, coring rigs and any "in-field" processing rigs). Please note that there are some more specific questions for coring rigs and any "in-field" processing rigs in a later section.
Harvest Practices	2.13.07a	Are all food contact surfaces on the machinery used in the harvest process constructed of food grade materials or stainless steel?	5	Y/N/N/A	Y	Food contact surfaces on equipment should be free of flaking paint corrosion, rust, and other materials. Food contact surfaces should be made of Non-toxic, Non-porous materials. Surfaces should be maintained in good condition.
Harvest Practices	2.13.07b	Does the packing surface allow for easy sanitation?	5	Y/N/N/A	Y	Packing surfaces should be made of sanitary, food grade material that can be easily cleaned. Efforts should be made to eliminate wooden surfaces.
Harvest Practices	2.13.07c	Is the harvesting equipment subject to a documented cleaning program including stating the cleaning frequency and cleaning procedures? If No, go to 2.13.07f.	5	Y/N/N/A	Y	There must be evidence of a sanitation program in place for specialist harvest equipment, etc. subject to a cleaning program. The program should state the frequency of cleaning and the cleaning procedures. Frequency should reflect the type of machinery, type of harvesting practice and risk associated with the crop involved. For "in-field" processing, clean and core, etc. at least daily cleaning should be performed.
Harvest Practices	2.13.07d	Is an anti-microbial solution (e.g. chlorinated or equivalent) used to sanitize the harvesting equipment after cleaning has occurred?	5	Y/N/N/A	Y	Anti-microbial solutions, if properly managed help ensure that surfaces are sanitized after the cleaning process. The strength of sanitizers (fit for food use) should be checked on a regular basis and recorded.
Harvest Practices	2.13.07e	Are records of harvesting equipment cleaning being maintained?	5	Y/N/N/A	Y	There should be cleaning and sanitizing records showing that the sanitation program is being maintained.
Harvest Practices	2.13.07f	Is equipment designed and used properly to minimize product contamination (e.g. drip pans utilized, lights protected)?	5	Y/N/N/A	Y	Overhead contamination from materials such as hydraulic fluid can result in product, packaging, contamination, therefore equipment should be fitted with catch pans.
Harvest Practices	2.13.07g	Are only food grade lubricants used on the critical parts of the harvesting machinery that have the potential to contaminate product?	3	Y/N/N/A	Y	In order to prevent or reduce contamination to product/packaging, food grade lubricants (i.e. incidental food contact compounds or H1 materials) should be used on critical areas equipment where product exposure exists. Proof must be available that food grade lubricants are being used.
Harvest Practices	2.13.07h	Are all glass issues on harvesting machines, in-field trucks, and tractors protected in some manner?	3	Y/N/N/A	Y	Glass located on the harvesting machinery (e.g. lights), night lights) that may pose a threat of contamination onto product, packaging, and re-useable containers should be protected. Machinery includes tractors and other equipment that may come into contact with product. There should be no evidence of cracked lenses.

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Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvest Practices	2.13.07i	Are all platforms above product, packaging, or food contact surfaces (e.g. belts) on the harvest machinery, in-field trucks fitted with protection to prevent product contamination?	3	Y/N/N/A	Y	Measures should be taken to eliminate or reduce potential contamination by placing protection on areas of equipment above product, food contact surfaces, and belts.
Harvest Practices	2.13.08	Is water used directly on product contact(e.g. re-hydration, core in field)? If No, go to 2.13.09.	0	Y/N	N	This refers to water that is used directly on product contact. Examples may includes but are not limited to re-hydration, core in field.
Harvest Practices	2.13.08a	Are microbial tests conducted including Generic E.coli on water used for washing, hydrating, etc. harvested crops (e.g. re-hydration, core in field) ? If No, go to 2.13.08c.	10	Y/N/N/A	Y	Water that directly contacts edible portions of harvested crop should meet microbial standards set forth in U.S. EPA National Drinking Water Regulations, and/or contain an approved disinfectant at sufficient concentration to prevent cross contamination.
Harvest Practices	2.13.08b	Are the microbiological tests current and conducted at the required and/or expected frequencies?	10	Y/N/N/A	Y	One sample per water source should be collected and tested prior to use and then ideally monthly, or at frequency relative to the associated risks. Sample sources as close to the point -of-use as possible.
Harvest Practices	2.13.08c	Do written procedures (SOPs) exist covering corrective measures for unsuitable or abnormal water testing results?	10	Y/N/N/A	Y	Written procedures (SOPs) should exist covering corrective measures not only for the discovery of unsuitable or abnormal water results but also as a preparation on how to handle such findings.
Harvest Practices	2.13.08d	If unsuitable or abnormal results have been detected, have documented corrective measures been performed?	15	Y/N/N/A	Y	For Generic E.coli there should be negative or < detection limit (MPN or CFU/100mL). Where thresholds have been exceeded there should be recorded corrective actions including investigations, water retests and crop testing (E.coli O157:H7 and Salmonella < detection limits or Negative- zero tolerance).
Harvest Practices	2.13.08e	Are the anti-microbial parameters clearly documented and correct for the type anti-microbial being used?	10	Y/N/N/A	Y	Anti-microbial standards should be indicated in an SOP and/or on the recording documentation. For chlorine, the criteria should be >1ppm free chlorine or ORP >650 mV for recycled water systems. Total chlorine records are not viewed as acceptable for recycled water systems. Single pass systems must have stated anti-microbial level. Other anti-microbials include ozone, peracetic acid, etc.
Harvest Practices	2.13.08f	Are anti-microbial checks being performed on a routine basis?	10	Y/N/N/A	Y	Anti-microbial checks should be performed on a routine basis. For manual microbial additions, for "single pass" systems, this should be every batch of anti-microbial solution that is mixed, for recycled systems the minimum testing frequency is hourly. If direct continuous injection (pumping) of the anti-microbial is used, then minimum of hourly verification checks should occur.
Harvest Practices	2.13.08g	Are corrective actions recorded where anti-microbial results are less than the stated minimum criteria?	10	Y/N/N/A	Y	Documented corrective actions are required when anti-microbial results are less than the stated minimum. These corrective actions should indicate what happens to the products as well as how changes to the process e.g. adding more chemical.
Harvest Practices	2.13.09	Is the harvested product "in-field processed" or "In-field semi-processed" (e.g. core in field, top & tail, florets)? If No, go to 2.14.01.	0	Y/N	N	"In field processed" products are subject to the all the questions in this audit and these extra requirements below. "In field processed" usually refers to product who having multiple cuts surfaces created in the field e.g. coring in field, topping & tailing, florets.
Harvest Practices	2.13.09a	Does the process flow, machine layout, employee control, utensil control, etc. ensure that processed products are not contaminated by unprocessed products?	5	Y/N/N/A	Y	The design, personnel management, utensil management and general practice should avoid contact between processed and unprocessed product, contact surfaces and tools.
Harvest Practices	2.13.09b	Do all employees that come in contact with the product being harvested wear clean protective outer garments (e.g. hairnets, plastic gloves, sleeves and aprons)?	5	Y/N/N/A	Y	An outer garment policy considering potential cross contamination and foreign material risks should be established.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
Harvest Practices	2.13.09c	Do all employees that wear protective outer garments remove and keep them in a clean and secure area during breaks or when using the toilet facilities?	5	Y/N/N/A	Y	Protective outer garments should be removed and kept clean and in a secure area during breaks or when using the toilet facilities.
Harvest Practices	2.13.09d	Are all plastic bin liners closed immediately after harvest to avoid contamination of the harvested product?	3	Y/N/N/A	Y	All plastic bin liners should be closed immediately and appropriately secured after harvest to avoid product contamination.
Transportation and Tracking	2.14.01	Are the vehicles transporting fresh produce from field to facility limited to this function only and maintained in proper condition?	5	Y/N	Y	Vehicles transporting product should be limited to this function only. Vehicles should be in a good state of repair, clean, odor free, free from personal items, and free from chemical and microbiological contamination. If loads are tied down, tarps, belts, ropes, etc. should also be in good working order, without contamination risk to product.
Transportation and Tracking	2.14.02	Is there a system in place to track product from the farm? If No, go to 2.15.01.	20	Y/N	Y	There should be a tracking system in place to ensure product can be traced back to each exact growing location and harvest date (e.g. grower identification, farm identification, block, harvesting date, etc.). Answer to this question should be NO if there are not at least coding details indicated on pallet tags, bins, trip ticket, or other accompanying load documentation.
Transportation and Tracking	2.14.02a	If product is being packed in the field, are the cartons, boxes, RPC's or any other packaging material used, identified with the harvesting date and growing location information on them? This question does not apply for raw material/bulk product destined for further handling in a packinghouse or processor facility.	10	Y/N/N/A	Y	For finished goods packed in the field there should be date coding on each external package, as cartons, boxes, reusable plastic containers or any other. The information should be enough to identify the date of harvest and the exact location of where the product was grown. This question is Non-applicable for raw material/bulk product destined for further handling in a packinghouse or processor facility.
Transportation and Tracking	2.14.02b	If product is being packed in the field and individual packing units are used (e.g., clamshells, bags, baskets or others), are these individual units identified with the harvesting date and growing location information on them? This question does not apply for raw material/bulk product destined for further handling in a packinghouse or processor facility.	10	Y/N/N/A	Y	For finished goods packed in the field there should be date coding on each individual unit package, as clamshells, bags, baskets or others. The information should be enough to identify the date of harvest and the exact location of where the product was grown. This question is Non-applicable for raw material/bulk product destined for further handling in a packinghouse or processor facility.
On site storage	2.15.01	Is there an on site storage for items and/or equipment used in the harvest process (e.g., packing material, cartons, clamshells, re-usable containers, disinfectants, grading/packing tables, RPCs)? If No, skip sub-questions.	0	Y/N	N	On-site carton/container storage areas must be secure, clean, and maintained properly to reduce pest and foreign material contamination.
On site storage	2.15.01a	Are packaging, containers, and harvesting equipment stored to prevent cross contamination (this includes RPCs, cartons, clamshells, bins, and other harvesting type of containers that are single use or reusable, etc.)?	5	Y/N/N/A	Y	Packaging, containers, etc., should be stored away from farm chemicals, sanitizers, fertilizers, etc. All packaging materials should be stored off the ground (i.e. on racks, pallets, shelves, etc). Cartons and other packing materials should be properly protected during storage to prevent contamination.
On site storage	2.15.01b	Is the storage area under a sanitation program?	5	Y/N/N/A	Y	All storage areas should have a sanitation program in place.

Module 2 - GAP option (Sections 2.01 to 2.15)
Good Agricultural Practices Requirements

Section	Q #	Question	Total Points	Available answers	Earn points	Expectation
On site storage	2.15.01c	Is the storage area under a pest control program?	5	Y/N/N/A	Y	All storage areas should have a pest control program in place (which may include vertebrates, bird, etc.). Poisonous bait must not be placed inside the storage areas (risk of cross contamination). Snap traps are not allowed unless the placement is for emergency situations. Avoid using allergen containing baits/attractants e.g. peanut butter.

*Where laws, commodity specific guidelines and/or best practice recommendations exist and are derived from a reputable source, then these practices and parameters should be used. Audit users should allow a degree of risk association if laws, guidelines, best practices, etc., have not been documented.

PrimusGFS - Questions and Expectations - v 1.6

This Module should be completed for each one of the facility operations in the scope of the application done by the organization.

Module 2 - GMP option (Sections 2.16 to to 2.31) Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
General GMP	2.16.01	Is there a designated person responsible for the food safety program?	10	There should be an appropriate person (preferably manager) assigned responsibility for the facility food safety program.
General GMP	2.16.02	Are all chemicals (sanitizers, detergents, lubricants, etc.) stored securely, safely and are they labeled correctly?	15	Chemicals are required to be stored in a designated secured storage area (with good signage). The chemical storage area to be located away from any raw materials, packaging & finished food products. Spill controls should be in place for opened in use containers.
General GMP	2.16.03	Are "food grade" and "non-food grade" chemicals handled and stored in a controlled manner?	10	Only food grade lubricants should be used anywhere near product and packaging materials "food grade" and "non-food grade" materials should be stored in separate designated areas. Grease guns and containers should be labeled adequately. Access to non food grade materials should be limited to those entrusted with correct use of chemicals.
General GMP	2.16.04	Are signs supporting GMPs posted appropriately?	10	Highly visible and understood signs supporting appropriate Good Manufacturing Practices (GMP's) e.g. no eating, chewing, drinking or smoking, hand washing, any specific clothing requirements etc. should be posted to remind workers of proper practices. Signs should especially be located at the entrance(s) to the production/storage areas, restrooms and break areas.
Pest Control	2.17.01	Are products or ingredients free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	15	Any evidence of insects, rodents, birds, reptiles or mammals in products or ingredients are indicators of contamination, posing physical and microbiological hazards. Evidence of contamination constitutes automatic audit failure.
Pest Control	2.17.02	Are packaging supplies free of insects/rodents/birds/reptiles/mammals or any evidence of them? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	15	Packaging supplies are considered food-contact surfaces and therefore need to be free of insects, rodents, birds, reptiles or mammals. Evidence of contamination constitutes automatic audit failure.
Pest Control	2.17.03	Are plant and storage areas free of insects/rodents/birds/reptiles/mammals or any evidence of them?	10	Plant and storage areas need to be free of insects, rodents, birds, reptiles or mammals to prevent possible physical or microbiological contamination.
Pest Control	2.17.04	Is the area outside the facility free of evidence of pest activity?	10	Evidence of rodents, animals (e.g. humans, dogs) and/or birds in active areas outside the plant is an indication of a pest pressure on the whole facility. All possible measures should be taken to avoid attracting pests to the facility perimeter.
Pest Control	2.17.05	Does the operation have a pest control program? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	15	A pest control program is required to provide the basic environmental and operating conditions necessary for the production of safe, wholesome food.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Pest Control	2.17.06	Are pest control devices (inc. rodent traps and electrical fly killers) located away from exposed food products? Poisonous rodent bait traps are not used within the facility?	10	Pest control devices should be located away from exposed food products, packaging materials, or equipment to prevent any physical or microbial contamination. Poisonous rodent bait traps should not be located within the facility.
Pest Control	2.17.07	Are pest control devices maintained in a clean and intact condition and marked as monitored (or bar code scanned) on a regular basis?	5	All pest control devices should be maintained clean and replaced when damaged so they will accomplish their intended use. Date of inspections should be posted on the devices as well as kept on file (unless barcode scanned).
Pest Control	2.17.08	Are interior, exterior building perimeter and land perimeter pest control devices adequate in number and location?	5	Inside pest control : mechanical traps every 20-40 feet. Outside building perimeter: mechanical traps and/or bait stations every 50-100 feet (exterior/ interior traps should be placed on both sides of doorways). Land Perimeter: secured stations every 100 to 200 feet.
Pest Control	2.17.09	Are all pest control devices identified by a number or other code (e.g. barcode) ?	5	All traps should be clearly identified (e.g. numbered) to facilitate monitoring and maintenance. All traps should be located with wall signs (that state the trap number and also that they are trap identifier signs).
Pest Control	2.17.10	Are all pest control devices properly installed and secured?	5	All traps should be correctly orientated. Bait traps should be locked and tamper resistant in some way (e.g. locks, screws etc.). Bait traps should be secured to prevent removal. If mounted on slabs, then wall signs should be used to aid location.
Storage Areas & Packaging Materials	2.18.01	Are ingredients (including ice), products, and packaging stored to prevent cross contamination (this includes iced product pallets stored above pallets of product without adequate protection as well any allergen cross contamination issues)?	15	Raw materials should be stored separately from finished product. Product and packaging should be stored off the ground, protected if necessary, away from chemicals, battery chargers etc. in order to prevent contamination. Special attention should be given to ice storage and where relevant allergen storage.
Storage Areas & Packaging Materials	2.18.02	Is the storage area completely enclosed?	10	All raw material and finished goods should be stored inside. Food contact packaging should be stored inside. Non food contact packaging should be stored inside but if stored outside, should be shroud protected.
Storage Areas & Packaging Materials	2.18.03	Is the facilities use restricted to the storage of food products?	5	To avoid any adulteration or possible cross contamination from other items only essential products, packaging, chemicals and equipment should be stored in the facility.
Storage Areas & Packaging Materials	2.18.04	Are rejected or on hold materials clearly identified and separated from other materials?	10	Rejected or on hold materials should be kept separate and identified from other materials to avoid accidental use or shipping. Make sure that the pallet or rejected product is properly marked e.g. date item was placed on hold, reason and name of the person placing the item on hold. A separate area also helps ensure that there are no accidental uses or shipping of on hold materials.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Storage Areas & Packaging Materials	2.18.05	Are products, ingredients (including ice) and food contact packaging within accepted tolerances for spoilage or adulteration? ANY DOWN SCORE IN THIS QUESTION RESULTS IN AUTOMATIC FAILURE OF THE AUDIT.	15	Products, ingredients (including ice) and food contact packaging that are adulterated are illegal. Adulteration can take many forms e.g. foreign materials, misrepresentation of products etc. Ice should be made from potable water.
Storage Areas & Packaging Materials	2.18.06	Are all storage areas clean, especially the racking structures, lights, ceilings, floor areas by the walls and other hard to reach areas?	10	All storage areas should be kept clean and free from dust, debris and other extraneous materials. This helps avoid pest attraction and contamination of products, ingredients or packaging. Pests activity is easier to detect in a clean area.
Storage Areas & Packaging Materials	2.18.07	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) properly marked with rotation codes (receipt dates, manufacture dates, etc)?	5	Materials should be clearly marked or labeled with some kind of rotation coding that is understood by all staff, in order to ensure FIFO and effective traceback/recall procedures.
Storage Areas & Packaging Materials	2.18.08	Are materials (commodities, packaging, ingredients, processing aids, work in progress, etc.) rotated using FIFO policy?	5	Should be using First In First Out principal. Proper rotation of materials can prevent stock losses due to pest infestation, decomposition, mold and other problems associated with prolonged storage.
Storage Areas & Packaging Materials	2.18.09	Are storage areas at the appropriate temperatures for the specific products being stored?	10	Products should be stored at the correct temperatures. This might mean that the operation has several cold store chambers set at different temperatures.
Operational Practices	2.19.01	Does the process flow, facility layout, employee control, utensil control, internal vehicle use, etc. ensure that finished (processed) products are not contaminated by raw (unprocessed) products?	15	Raw product should not be allowed to touch processed product. Raw product handlers should not contaminate processed product - clear controls required. Separate coded utensils required for processed products relative to raw products. Forklift truck should be either be dedicated to one area or the wheels are cleaned when go from raw to processed goods areas.
Operational Practices	2.19.02	Are all exposed materials (product, packaging, etc.) protected from overhead contamination (e.g. ladders, motors, condensation, lubricants, walkways, loose panels, degrading insulation, etc.)?	15	Overhead contamination of exposed product areas can result in microbiological, chemical and/or physical contamination. Exposed materials should be protected e.g. catwalks covered, use of kick plates, condensate catching pans etc.
Operational Practices	2.19.03	Are packing and/or processing areas completely enclosed?	15	Packing and/or processing areas should be completely enclosed (walls or pest proof mesh) to minimize pest entry into the facility and to avoid contamination of products.
Operational Practices	2.19.04	Are production areas clean and well maintained; especially lights, floor areas by the wall and equipment, and other hard to reach areas?	15	Production areas should be maintained in a clean and sanitary condition.
Operational Practices	2.19.05	Is all re-work / re-packaging handled correctly?	10	Re-work product should be labeled properly to avoid mistaking it with other products and maintaining traceability. Re-work should be handled in a way to prevent contamination from the environment or from other products.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Operational Practices	2.19.06	Are raw ingredients examined before use?	5	Raw materials should be inspected. This inspection should look for foreign material contaminants, rotting materials and any unusual issues e.g. unsealed packaging, visible residues etc.
Operational Practices	2.19.07	Are finished products coded (carton and unit packaging) for the day of production?	10	Product should be lot coded in order to ensure an effective trace back and recall program and also for inventory control.
Operational Practices	2.19.08	Are foreign material control methods (e.g. metal detectors, metal traps, visual inspection, etc.) in place? Are these systems regularly tested (where relevant) to ensure proper operation?	10	Foreign material control systems should be in place where prudent. These systems should be frequently checked to ensure that they are working correctly (recorded). Foreign material issues should be noted as deviations.
Operational Practices	2.19.09	Does the facility have the appropriate test strips, test kits or test probes for verifying the concentrations of anti-microbial chemicals (product washing water, terminal sanitizers, dip stations, etc) being used and are they in operational condition?	10	The strength (concentration, pH, etc.) of anti-microbial chemicals should be checked on a regular basis and recorded. Solutions that are too weak will be ineffective (and a potential risk), while those that are too strong may be harmful to employees or product
Operational Practices	2.19.10	Are hand washing stations adequate in number, appropriate in location, in working order, have warm water and adequately stocked (e.g. disposable towels, soap, etc.)?	15	Enough stations, in working order should be provided to ensure efficient staff flow (1 per 10 people on site). Hands free is an optimum system for food establishments. Operations packing processed items should have hand washing stations located at access to production areas in processing and packinghouse audits; within close proximity of toilet facilities area and lunchroom area is acceptable for other facility audits.
Operational Practices	2.19.11	Are toilet facilities adequate in number and location and are they adequately stocked (e.g. toilet paper, disposable towels, soap, etc.)?	15	At least one stall per 15 employees. Toilet facilities should not open directly into production or storage areas. Restrooms should be stocked with toilet paper, scentless soap and towels.
Operational Practices	2.19.12	Are secondary hand sanitation stations e.g. hand dip, gel or spray stations adequate in number and location? Are the stations maintained properly?	3	Secondary hand sanitation helps reduce microbial load between hand washing events. Stations must be maintained (checked and replenished). Stations should be placed strategically. Secondary hand sanitation does not replace proper hand washing.
Operational Practices	2.19.13	Are foot dip stations adequate in number and location? Are the stations maintained properly?	3	Foot dip mats filled with anti-microbial solution can help control cross contamination. Stations should be maintained (checked and replenished). Stations should be placed strategically i.e. entrances to "clean areas".
Operational Practices	2.19.14	Are single services containers used for their intended purpose only so that potential cross contamination is prevented?	5	To avoid cross contamination, single-service containers should not be re-used. Storage of small parts, or tools in packaging containers should not be allowed (unless these are marked up for such use and will not be used in the food chain).
Operational Practices	2.19.15	Are re-usable containers clearly designated for the specific purpose (trash, raw product, finished product, re-work, ice, etc.) such that cross contamination is prevented?	5	Identification of reusable containers (visually or in the language understood by the workers) helps to minimize contamination of products. This is especially important where reusable containers are a similar design to any of the product containers.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Operational Practices	2.19.16	Are food safety measuring devices working properly?	3	Thermometers, chemical testing equipment, etc., should be working correctly. Where necessary equipment should be calibrated.
Employee Practices	2.20.01	Are employees washing and sanitizing their hands before starting work each day, after using the restroom, after breaks and whenever hands may be contaminated?	15	Washing hands is the first step in avoiding food contamination. Adequate washing with soap and water is obligatory before starting work and after each absence from the work station. Hand washing signs should be posted.
Employee Practices	2.20.02	Are employees' fingernails clean, short and if gloves are not used, free of nail polish?	5	Fingernails can harbor dirt and debris and therefore should be clean and short. Fingernail polish and false nail can be worn if using gloves that are in good repair.
Employee Practices NEW	2.20.03	Where gloves are used, are they latex-free (e.g. vinyl, nitrile) or powder-free latex?	3	For some workers, exposures to latex which binds to the cornstarch in powdered gloves, may result in allergic reactions. Use non-latex gloves (preferred) or powder-free latex gloves for food preparation, routine housekeeping, general maintenance, etc.
Employee Practices NEW	2.20.04	Are all cuts and wounds covered with waterproof detectable blue bandages (Band Aids) that contain a metal strip?	5	Bandages used in food facilities should be waterproof and blue in color for easy visual detection with a metal strip behind the wound pad for detection on lines with metal detectors.
Employee Practices	2.20.05	Are employees with boils, sores, open wounds or exhibiting signs of foodborne illness excluded from operations involving direct and indirect food contact?	10	Employees with these afflictions have the potential to contaminate the product.
Employee Practices	2.20.06	Are employees wearing hair nets (or similar hair restraints) and beard-nets?	5	Wearing hair restraints and beard-nets prevents hair from falling into the product. Hair restraints also avoids staff unintentionally touching hair, then touching product.
Employee Practices	2.20.07	Is jewelry confined to a plain wedding band?	3	Jewelry except plain wedding bands should not be worn in the production areas. Jewelry can fall into product. It can also get snagged in machinery.
Employee Practices	2.20.08	Are all employees wearing outer garments suitable for the operation (e.g. smocks, aprons, sleeves and gloves)?	5	Smocks and aprons should be worn to cover street clothes that may have contaminants from the outside environment. Gloves and sleeves when properly used (if appropriate) can help reduce transmission of micro-organisms from the arms and hands (gloves do not replace hand washing).
Employee Practices	2.20.09	Do employees remove protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets and when going home at the end of their shift?	5	When worn, these items should be removed anytime an employee leaves the work area. Employees cannot smoke, eat, go outside the building or use the restroom while wearing these garments.
Employee Practices	2.20.10	Is there a designated area for employees to leave protective outer garments e.g. smocks, aprons, sleeves and gloves when on break and before using the toilets?	5	Having a designated area for these items helps keep them in a sanitary condition. Avoid hanging them next to personal clothing, on packaging materials, on or near chemicals or on equipment to prevent cross contamination.
Employee Practices	2.20.11	Employees personal items are not being stored in the production and material storage areas?	5	Personal belongings should not be taken into production and storage areas. Separate areas should be provided for personal belongs. Lockers are ideal, if maintained properly, mounted off the floor and with sloping tops and located outside production and storage areas. Wire, see through lockers are ideal.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Employee Practices	2.20.12	Is smoking, eating, chewing and drinking confined to designated areas?	10	Eating, chewing, drinking (other than water in clear plastic screw-top bottles) and smoking must be restricted to designated areas on site, in order to prevent contamination of product, packaging and equipment.
Employee Practices	2.20.13	Are all items removed from shirt or blouse top pockets?	3	Items in pockets have the potential to fall into the product.
Equipment	2.21.01	Are food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	15	Food equipment should not have flaking paint, corrosion, rust and/or unhygienic materials. These can pose foreign material and/or microbiological hazards.
Equipment	2.21.02	Are non-food contact surfaces free of flaking paint, corrosion, rust and other unhygienic materials (e.g. tape, string, cardboard, etc.)?	10	Flaking paint, corrosion, rust and/or unhygienic materials should not be present on any surfaces.
Equipment	2.21.03	Does equipment design and condition (e.g. smooth surfaces, smooth weld seams, non-toxic materials, no wood) facilitate effective cleaning and maintenance?	15	Equipment should be made of appropriate materials that can be easily cleaned and maintained, that are not porous or toxic. Equipment should be designed to allow access and easy cleaning, with no hard to get to (debris catching) areas. Welds should be smooth and not "bobbly".
Equipment	2.21.04	Are thermometers (independent of thermostat probes) present in all coolers and freezers?	5	All cold rooms should have a thermometer to monitor and control the temperature. The monitoring thermometer(s) should be independent from the thermostat probe.
Equipment	2.21.05	Are all thermometers non-glass and non-mercury?	10	Thermometers should not pose a foreign material risk. Both glass and mercury could be contaminants if the thermometer was to break.
Equipment Cleaning	2.22.01	Are food contact surfaces clean?	15	Unsanitary food contact surfaces can directly lead to contamination of the product. Food debris, bio films, excessive dust, etc., should be cleaned off equipment and facility surface in order to reduce the overall facility bio-burden.
Equipment Cleaning	2.22.02	Are non-food contact surfaces clean?	10	Unsanitary non-food contact surfaces can indirectly lead to contamination of the product. Food debris, bio films, excessive dust, etc., should be cleaned off equipment and facility surface in order to reduce the overall facility bio-burden.
Equipment Cleaning	2.22.03	Are items (barrels, bins, etc.) that are used to hold or store product clean?	10	All storage containers should be cleaned and sanitized as frequently as necessary in order to prevent contamination. Containers should be kept covered and protected during storage.
Equipment Cleaning	2.22.04	During cleaning are foods and packaging protected?	15	To avoid contamination, foods and packaging should be covered, screened, protected in some way or removed from the area while cleaning is taking place.
Equipment Cleaning	2.22.05	Are cooling units including coils in coolers and freezers clean and free of aged, dirty ice?	5	Cooling coils can build-up dust and other contaminants. They should be included in the master sanitation schedule.
Equipment Cleaning	2.22.06	Are all fan guards dust-free and the ceiling in front of the fans free of excessive black deposits?	5	Fan guards should be dust free to prevent cross contamination. The ceiling in front of the fans (especially cooler units) should be free from excessive black deposits.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Equipment Cleaning	2.22.07	Is stored equipment that is not used on a daily basis stored in a clean condition with food-contact surfaces protected and/or are they retained on cleaning schedules in some manner, even though they are not in use?	10	Equipment should be stored appropriately (e.g. covered, protected and off the floor) to prevent inappropriate use and cross contamination. Alternatively unused equipment can be left on sanitation and maintenance programs.
Equipment Cleaning	2.22.08	Are all utensils, hoses, and other items not being used stored clean and in a manner to prevent contamination?	10	Utensils, hoses and other items should be stored appropriately to prevent contamination. Storing off the floor, protected from splash back, dedicated lockers/storage areas etc. should be considered as possible control steps.
Equipment Cleaning	2.22.09	Are maintenance tools that are used in the production and storage areas of the facility clean, sanitary and corrosion free?	3	Tools that are used for repairing equipment in the production and storage areas should clean, free of corrosion and in good working for order i.e. fit for their intended use.
Equipment Cleaning	2.22.10	Are excess lubricants and grease removed from the equipment?	5	Dripping caused by over lubrication is a potential chemical contaminant to the product. Frequent lubrication using minimal material and use of drip pans are control examples. Note food grade materials are designed for incidental food contact; all efforts should be made to avoid these materials getting onto the product and packaging.
General Cleaning	2.23.01	Are spills cleaned up immediately?	10	To prevent the attraction of pests, reduce cross contamination and maintain a sanitary environment all spills must be cleaned up immediately.
General Cleaning	2.23.02	Are waste and garbage frequently removed from packing and storage areas?	5	Waste and garbage must be removed on a frequent basis to prevent attraction of pests, reduce cross contamination, reduce bad odors and maintain a sanitary environment
General Cleaning	2.23.03	Do floor drains flow in a manner that prevents contamination (e.g. from high to low risk areas, from high risk directly to drain system), are they covered, appear clean, free from odors and well maintained?	5	Floor drains should flow in a manner that prevents contamination, be cleaned on a frequent basis (daily in wet facilities) to remove residues, prevent growth of harmful bacteria and to allow for proper drainage. Drains should be covered; side and bases should be made of a smooth material that does not trap debris.
General Cleaning	2.23.04	Do high level areas including overhead pipes, ducts, fans, etc. appear clean?	10	Overhead areas should be cleaned as required to prevent potential contamination.
General Cleaning	2.23.05	Are plastic strip curtains maintained in a good condition, kept clean and mounted so that the tips are not touching the floor?	5	Plastic strip curtains may be a source of contamination if they are not maintained clean, intact and fitted properly (so tips are not touching the floor).
General Cleaning	2.23.06	Is safety equipment for the sanitation crew adequate, in good condition and stored to prevent cross contamination to ingredients, packaging or product?	3	The sanitation crew should wear appropriate safety equipment to avoid any health problems from the chemicals that they use during the cleaning process. All safety equipment should be stored to prevent contamination to ingredients, products or packaging.
General Cleaning	2.23.07	Is cleaning equipment available and stored properly?	5	Adequate cleaning equipment should be available and stored in a way that prevents cross contamination.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
General Cleaning	2.23.08	Is cleaning equipment identified in order to prevent potential cross contamination issues e.g. production, maintenance, outside, restroom equipment?	5	Cleaning equipment used for production areas need to be separated (physically and visually) from cleaning equipment used in non-production areas in order to prevent cross contamination from occurring. Sometimes even within production areas, there is a need to differentiate equipment even further, e.g. splitting flooring cleaning materials from equipment cleaning materials.
General Cleaning	2.23.09	Are all items used for sanitation appropriate for their designated purpose? (no steel wool, metal bristles, etc.)	5	Sanitation equipment should be constructed of appropriate materials that will not contaminate the product. Avoid anything that flakes, made of pervious materials, of a similar color as the products, corrodes or might damage the equipment or facility.
General Cleaning	2.23.10	Are toilet facilities and hand-wash stations clean?	15	Toilet facilities should be cleaned and sanitized at least daily. Soiled tissue should be flushed down the toilet (not placed in trash cans and/or on the floor).
General Cleaning	2.23.11	Are employee locker and lunchroom facilities clean, including microwaves and refrigerators? No rotting or out of date foodstuffs?	5	All employee locker and lunchroom facilities should be clean to prevent the attraction of pests. Temperature sensitive foods should be stored in cold boxes or provided refrigerators. Tops of lockers should be clear of items and debris. See through wire lockers are the ideal design.
General Cleaning	2.23.12	Is the maintenance shop organized - i.e. equipment and spares stored in a neat and tidy fashion?	5	The maintenance shop should be clean and well ordered. An unclean shop can result in cross contamination and pest attraction. Any food consumption in the maintenance shop, should be in a designated area that does not pose a risk to tools and equipments.
General Cleaning	2.23.13	Are internal transport vehicles (e.g. forklifts, bobcats, pallet jacks, trolleys, floor cleaners, etc.), clean, do not emit toxic fumes and being used in a sanitary manner?	5	Internal transport vehicles (forklifts, bobcats, pallet jacks, trolleys, floor cleaners, etc.) should be part of the sanitation program, maintained clean and not allowed to be a vector of cross contamination. Vehicles used in food areas should not be gasoline or diesel powered; propane (LPG) powered vehicles are acceptable; electric powered are ideal.
General Cleaning	2.23.14	Are shipping trucks clean and in good condition?	5	Unsanitary e.g. unclean, damaged insulation etc. shipping trucks could be a growth niche for bacteria and a foreign material hazard.
Buildings and Grounds	2.24.01	Are all lights in the production, product storage areas, packaging storage areas and maintenance shops intact and protected?	15	Lights should be protected against glass breakage in production, product storage, packaging storage and maintenance areas.
Buildings and Grounds	2.24.02	Has the facility eliminated or controlled any potential metal, glass or plastic contamination issues?	15	All foreign material risks must be either removed and/or accounted for and controlled. Example include metal filings (maintenance), glass lights on fork lifts, PC screens, staples etc.
Buildings and Grounds	2.24.03	Has the facility eliminated the use of wooden items or surfaces?	5	Wood is a porous material and can harbor bacteria. It cannot be cleaned or sanitized effectively. Wooden materials can also splinter and pose a risk of physical contamination.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Buildings and Grounds	2.24.04	Is there adequate lighting in the packing and storage areas?	5	Proper lighting is necessary for inspection and sanitation procedures to take place. This includes storage areas, production areas, maintenance areas, restrooms, etc.
Buildings and Grounds	2.24.05	Is ventilation adequate to remove dust, steam, and odors?	3	Ventilation system should minimize odors and vapors in areas where they may contaminate (taint) product and packaging. Inadequate ventilation might also allow condensate to form and prevent adequate air exchange rates.
Buildings and Grounds	2.24.06	Are floor surfaces in good condition, with no standing water, no debris trapping cracks and are they easy to clean?	10	Building materials should be impervious to water, clean easily and resist wear and corrosion. Exposed aggregate is hard to clean and will get progressively worse. Floors should be free of wide and/or deep cracks.
Buildings and Grounds	2.24.07	Are the floor drains where they are needed for drainage and cleanup?	5	Drains and gutters should be constructed so that distance from the high point to the drain (or gutter) should never exceed 15 feet.
Buildings and Grounds	2.24.08	Are doors to the outside pest proof?	5	All exterior doors should fit tightly with a maximum allowable gap of 1/8 inch. Special attention should be given to the maintenance of weather strips. Air curtains and self-closing devices where used, should be operating properly.
Buildings and Grounds	2.24.09	Are dock doors fitted with buffers to seal against trucks?	3	Buffers around dock doors should seal against trucks to maintain temperature management. Door seals will also help maintain a pest free environment. This question is applicable only when dock doors have been installed.
Buildings and Grounds	2.24.10	Are dock load levelers and shelters maintained in a good condition, pest proof and debris free?	3	Product debris can attract pests to the area. Gaskets (weather strips) around dock levelers should fit tightly to prevent pest entry. This question is applicable only when dock doors have been installed.
Buildings and Grounds	2.24.11	Are exterior walls free of holes to exclude pests? Are pipes, vents, air ducts designed and protected in order to prevent pest entry e.g. by using fine mesh?	5	Walls should be free of holes, crevices and cracks to prevent pest infestations. If pipe holes are needed, they should be protected to avoid pest entry. Vents and air ducts should also be protected. Mesh size should be small enough to prevent insect entry
Buildings and Grounds	2.24.12	Are interior walls and ceilings free of cracks and crevices to prevent pest harborage and allow proper sanitation?	5	It is important to keep the building in good repair to prevent the intrusion of pests and also creating difficult-to-clean surfaces.
Buildings and Grounds	2.24.13	Do false ceiling areas have adequate access to allow for inspection and cleaning?	5	False ceilings should have adequate access to safely permit monitoring of pest activities and for employees to perform their cleaning duties.
Buildings and Grounds	2.24.14	Is an 18" internal wall perimeter being maintained within the facility, with adequate access to these wall perimeters thereby allowing inspection and cleaning ?	5	Aisles and working spaces that are provided should be of adequate width to safely permit the monitoring of pest activity and for employees to perform their cleaning duties.
Buildings and Grounds	2.24.15	Is the exterior area immediately outside the facility free of litter, weeds and standing water?	5	Litter, waste, refuse, uncut weeds or grass and standing water within the immediate vicinity of the building may constitute an attractant or breeding place for rodents, insects or other pests, as well as microorganisms that may cause contamination.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Buildings and Grounds	2.24.16	Are control measures being implemented for the storage of pallets, equipment, tires etc. (i.e. out of the mud, stacked to prevent pest harborage, away from building perimeter)?	5	Incorrectly stored pallets and equipment can provide areas for pest harborage and/or cross contamination. Equipment should be stored at least 4 inches off the ground. Inventory checks should occur in order to ensure that these storage areas do not become full of unnecessary items. Outside storage areas should be within the scope of the pest control program.
Buildings and Grounds	2.24.17	Are pallets inspected to separate and replace dirty or broken pallets?	5	Broken or split pallets can cause a physical hazard. Dirt, mud, food debris, chemical residues and other contaminants on the pallets can cause a microbial contamination.
Buildings and Grounds	2.24.18	Is the area around the dumpster/cull truck/trash area clean?	3	Dumpster areas that are not maintained attract pests to the vicinity. These areas should be free of odor and liquid leaking from the dumpsters. Dumpsters should be cleaned from time to time.
Buildings and Grounds	2.24.19	Are outside garbage receptacles and dumpsters kept covered or closed?	5	Garbage receptacles or dumpsters should be covered to prevent attraction of pests.
Buildings and Grounds	2.24.20	Are all water lines protected against back siphonage?	5	Back siphonage protection prevents potable water from coming into contact with unsafe water.
Buildings and Grounds	2.24.21	Is the on-site laboratory (where appropriate) completely enclosed and separated from production and storage areas?	5	To prevent possible contamination from the laboratory, on-site laboratories should be located away from production and storage areas. Pathogen testing is ideally subcontracted to an external testing laboratory.
Chemicals Files	2.25.01	Are copies of all Materials Safety Data Sheets (detergents, sanitizers, pesticides, etc.) on file and fully accessible at all times with clear indexes?	5	Copies of Materials Safety Data Sheets (MSDS) should be on file to keep employees informed about the chemicals used in the facility and also be available in emergency situations.
Chemicals Files	2.25.02	Are there copies of specimen labels for chemicals used, where the full label is not immediately accessible e.g. rodent chemicals, product sanitizers?	5	When immediate access to a full label is not possible then specimen copies should be available. Specimen labels should be kept on file and/or laminated and located where chemicals are used. Also check State Legal Requirements.
Chemicals Files	2.25.03	Is there a chemical inventory and/ or usage log?	3	Logs of use and/or inventory of sanitizers (product and cleaning) are required in order to confirm that procedures are being followed.
Chemicals Files	2.25.04	Are there specific Standard Operating Procedures (SOPs) for the changing and testing of water and ice systems e.g. washing flumes, hydrovacuums, hydrocoolers, ice making machines, ice injectors, etc?	10	Ice and water systems should have specific SOP's which describe process of changing the water, performing and recording antimicrobial strength testing (including parameters, frequency of testing, methodology and corrective action requirements).
Pest Control Documentation	2.26.01	Is there a documented pest control program, including a copy of the contract with the extermination company (if used), Pest Control Operator license(s) (if baits are used) and insurance documents?	15	A pest control program is essential to plant sanitation, it should be maintained by a contracted company or an appropriately trained in-house employee (PCO required if baits used). Relevant documentation must be on file.
Pest Control Documentation	2.26.02	Is there a schematic drawing of the plant showing numbered locations of all traps and bait stations, both inside and outside the plant?	10	A schematic drawing of all trap stations allows the inspector to ensure that traps are in their allocated positions.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Pest Control Documentation	2.26.03	Are service reports created for pest control checks detailing inspection records, application records, and corrective actions of issues noted (in-house and/or contract)?	10	Service reports are necessary for the identification and correction of pest problem areas.
Operation Monitoring Records	2.27.01	Does the facility have incoming goods (products, ingredients and packing materials) inspection data?	5	Incoming products, ingredients and packaging should be inspected for pests, foreign materials and ensure that the materials are appropriate for use.
Operation Monitoring Records	2.27.02	Are there inspection logs on incoming trailers for rodents and insects, cleanliness, holes and temperature control?	10	Incoming trailer checks should ensure that the trailer was clean, odor free, pest free and that the trailer was in an acceptable condition e.g. no damaged insulation.
Operation Monitoring Records	2.27.03	Are there records for the necessary process monitoring activities (e.g. pH, water temperature, metal detection, labeling, heating processes, etc.) showing the monitoring frequencies, results and where necessary the corrective actions?	10	Correctly filled logs detailing levels, time, responsible person, etc. are necessary to verify good management practices.
Operation Monitoring Records	2.27.04	Are there records (with corrective actions) that show anti-microbial (e.g. free chlorine, ORP, peracetic acid) strength testing of wash water and ice solutions prior to start up and throughout the production runs?	10	Wash water and ice production systems using anti-microbial agents should have records showing that the strength of the solution are within stated parameters. Recycled water systems should be checked by measuring the "free anti-microbial" as opposed to bound microbial e.g. testing for free chlorine (or ORP) as opposed total chlorine.
Operation Monitoring Records	2.27.05	Is there a hand/foot/tool dip station log?	3	The log shows that dip sanitizer strengths are being maintained.
Operation Monitoring Records	2.27.06	Is there a tool accountability program for knives and similar hand tools used in the production area?	3	There should be an accountability program in place for knives and similar hand tools to identify potential product contamination.
Operation Monitoring Records	2.27.07	Is there a daily pre-operation inspection log?	5	Pre-operation inspections identify potential problems with the facility, personnel or equipment that should be corrected prior to starting production.
Operation Monitoring Records	2.27.08	If the site is new, has the site been risk assessed for adjacent land use, flooding, environmental pollutants and other food safety issues?	5	There should be a documented risk assessment of all new sites for environmental pollutants and flooding.
Operation Monitoring Records	2.27.09	Does the facility have documented evidence to ensure that any food safety hazards relevant to waste water treatments (e.g. settling ponds, land applications, etc.) are controlled?	10	All national and local laws pertaining to on-site water treatment systems should be followed; this should be documented. Where necessary there should be applicable permits on file and evidence of regulatory and/or third party inspections.
Operation Monitoring Records	2.27.10	Is there an annual certificate of inspection for the backflow prevention systems on water lines into the facility?	3	There should be a backflow prevention device on main water lines entering the facility and have backflow prevention devices on individual water lines within production areas. A trained inspector must verify the principle backflow prevention system annually.
Maintenance & Sanitation Files	2.28.01	Does the facility have a preventative maintenance program and schedule?	10	Preventative maintenance program can help prevent equipment failure that can result in physical or chemical contamination of products.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Maintenance & Sanitation Files	2.28.02	Is there a log of maintenance work or repairs ordered and is it signed off on work completed?	10	A log for maintenance work will assist in keeping track of the condition of equipment in order to prevent hazards from occurring.
Maintenance & Sanitation Files	2.28.03	Are there logs showing that equipment is cleaned and sanitized after maintenance work has been completed?	5	Maintenance and repairs on machinery can leave foreign materials behind or leave food-contact surfaces dirty if the entire work area and equipment is not cleaned and sanitized after work is completed.
Maintenance & Sanitation Files	2.28.04	Is there a written cleaning schedule (Master Sanitation Schedule) that shows what and where is to be cleaned and how often?	10	A master sanitation program must be in place that covers the entire area of the facility, equipment and all other areas of the facility. The master sanitation schedule should include a list of areas and equipment to be cleaned as well as the frequency.
Maintenance & Sanitation Files	2.28.05	Are there written cleaning procedures (Sanitation Standard Operating Procedures) for the facility and all equipment?	10	The facility, all equipment, internal transport vehicles and shuttle trucks should be cleaned and sanitized on a regularly scheduled basis based on written Sanitation Standard Operating Procedures (SSOP's).
Maintenance & Sanitation Files	2.28.06	Are sanitation logs on file that show what cleaning was done, when and who carried out the cleaning?	5	Sanitation logs should be on file covering the entire area of the facility and equipment. Logs should include: date, list of areas/equipment that were cleaned, the individual accountable and signed-off for each task completed.
Maintenance & Sanitation Files	2.28.07	Are there documented procedures and completion records for clean-in-place (CIP) activities, where applicable (e.g. cleaning re-circulating water systems such as washing flumes, ice injectors, etc.)?	5	CIP activities should be monitored to ensure CIP process is effective and not a source of contamination to product.
Maintenance & Sanitation Files	2.28.08	Is there a routine program and written procedure to validate sanitation effectiveness using ATP bioluminescence?	5	ATP (adenosine tri phosphate) bioluminescence provides an instant indication of the hygiene status of product contact surfaces by measuring the ATP from food residues, bacteria, yeast, mold - either living or dead (i.e. all organic matter) so giving a measure of cleaning effectiveness.
Maintenance & Sanitation Files	2.28.09	Is there a log indicating that floor drains are cleaned on a regular basis (minimum daily in wet and fresh-cut production areas)?	5	It is important to include drains in the cleaning schedule to prevent cross contamination. Drains in wet processing areas should be cleaned daily and sanitized regularly to prevent harmful bacteria from growing.
Maintenance & Sanitation Files	2.28.10	Are there records showing cooling units are serviced and cleaned at least on an annual basis or more frequently as required?	10	Cooling units should be cleaned and sanitized regularly to prevent harmful bacteria from growing. Servicing ensures that coolers are working properly and efficiently.
Maintenance & Sanitation Files	2.28.11	Is there a documented glass management policy and procedure (including company glass policy, glass breakage procedure and where necessary glass register)?	5	Document should include site glass policy, breakage procedure and glass register if necessary. A no glass policy should be a target for most auditees.
Employee Documentation	2.29.01	Do employee records have logs of new employee food safety (GMP) orientation training (with topics covered and attendees), and a document signed by each employee stating they will comply with the operations' personal hygiene and health policies?	5	New employees should be GMP trained on employment, with records of this training being maintained. Employees should be issued a list GMP rules in the relevant languages. All employees should sign to say that they will abide by the company rules regarding personal hygiene/GMPs and health requirements.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Employee Documentation	2.29.02	Are there logs of ongoing employee food safety education training with topics covered and attendees?	10	Ongoing employee training should cover at least GMP food safety hazards and relevant regulatory requirements and guidance. Training records should detail who has been trained and in which areas.
Employee Documentation	2.29.03	Is there a documented training program with training logs for the sanitation employees including best practices and chemical use details?	5	Sanitation training should ensure that the staff understand the importance of proper sanitation, how to use the cleaning chemicals and how to understand Sanitation Standard Operating Procedures.
Employee Documentation	2.29.04	Are there written procedures in place that require food handlers to report any cuts or grazes and/or if they are suffering any illnesses that might be a contamination risk to the products being produced? (In the US, auditors can check procedure/policy but not actual records.	3	There should be documented procedures that are communicated to food handlers, requiring them to report any cuts, grazes and/or any illnesses that might be a food safety cross contamination risk.
Employee Documentation	2.29.05	Are there written sickness reporting and return to work procedures?	3	There should be a procedure in place for reporting sickness and appropriate return to work requirements.
Employee Documentation	2.29.06	Is there an employee non-compliance/disciplinary action procedure? (verbal confirmation accepted).	3	There should be a procedure for reprimanding staff who systematic violate GMP's.
Employee Documentation	2.29.07	Are visitors and contractors required to sign a log stating that they will comply with the operations' personal hygiene and health policies?	3	All visitors and contractors should sign to say that they will abide by the company rules regarding personal hygiene/GMPs and health requirements.
Testing/ Analyses Records	2.30.01	Are there records of routine equipment microbiological testing?	5	Equipment microbiological testing is used to determine effectiveness of cleaning and sanitization programs.
Testing/ Analyses Records	2.30.02	Are there records of routine environmental microbiological testing?	5	Environmental microbiological testing is used to determine effectiveness of cleaning and sanitization programs.
Testing/ Analyses Records	2.30.03	Is there at least annual microbiological tests on water used in the facility (sampled from within the facility)?	10	Testing of water should be performed regularly to assure it meets the microbial requirements of potable water. Water samples should be taken from within the facility, in order to assess pipes and tanks (a city water result does not take into account the operations pipes and fittings). Well water should (in addition) be tested at source.
Testing/ Analyses Records	2.30.04	Is there (at least) an annual microbiological test for in-house produced ice or a letter of guarantee from external suppliers of ice?	5	Testing ice helps check both the water microbial potability and ice equipment hygiene. Letters of guarantee from external supplier (if used) should confirm that they carry out ice water microbial potability testing on a regular basis.
Temperature Controlled Storage & Distribution Logs	2.31.01	Are there records of final product temperature checks for temperature sensitive product?	10	Records must show the final product temperature and prove that the temperature sensitive product was below the maximum finished goods temperature.
Temperature Controlled Storage & Distribution Logs	2.31.02	Are there temperature logs for the packing room (if refrigerated)?	5	Temperature control is important in limiting microbial growth and maintaining product shelf life.
Temperature Controlled Storage & Distribution Logs	2.31.03	Are there temperature logs for storage rooms?	5	Temperature control is important in limiting microbial growth and extending shelf life.

Module 2 - GMP option (Sections 2.16 to to 2.31)
Good Manufacturing Practices Requirements

Section	Q #	Question	Total Points	Expectations
Temperature Controlled Storage & Distribution Logs	2.31.04	Are there records of shipping truck temperature checks, indicating that the truck was pre-cooled prior to loading?	5	Truck trailers should be pre-cooled when transporting temperature sensitive products. Air temperatures will not suffice, since they are affected by the incoming ambient air temperatures - checking the wall of the trailer will show if the truck has been pre-cooled.
Temperature Controlled Storage & Distribution Logs	2.31.05	Are there sanitary condition logs for shipping trucks (cleanliness, trailer condition, odor, etc.)?	10	Trucks, even those with that are booked by the buyer, should be checked for their sanitary condition and records recorded.

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- *This module will not be applicable to field operations, for activities carried out only in the growing area at farm level.*
 - *This module will always be applicable to all facility operations.*
- *For facility operations where there is preparation, manufacturing or processing of food, a HACCP system must be in place and the entire section shall be evaluated. In food businesses where there is no preparation, manufacturing or processing of food HACCP may not be required, but this should be determined with a documented hazard analysis of all steps of each process. If the hazard analysis shows that all hazards can be controlled through the implementation of prerequisite requirements, there will be no need to develop and implement a complete HACCP system.*
 - *In ALL cases the HACCP process and system must be in compliance with all legal requirements.*

This Module should be completed for each one of the facility operations in the scope of the application done by the organization.

Module 3 - HACCP (Sections 3.01 to 3.05)

HACCP System Requirements

Section	Q #	Question	Total Points	Expectations
Applicability of HACCP	3.01.01	Is there need of a HACCP system to be developed and implemented in the operation? Only YES or NO answer is allowed. IF YES, go to 3.02.01	0	The need of a HACCP system for an specific operation should be determined by the type of process being performed. A HACCP system shall be in place for an operation where processing activities are carried out, this means where the operation is performing changes to the nature of the product; the product that goes in is not the same that goes out. Examples of this operation could be: shredding lettuce, slicing tomatoes, dicing onions, freezing strawberries, drying apples, roasting nuts, etc. The need of the HACCP system can be determined by legal requirements or if decided by the organization by contracts with specific buyers or company policies.
Applicability of HACCP	3.01.02	If the company has determined that a HACCP system is not needed for the operation, is there a documented hazard analysis of all steps of each process showing that all hazards can be controlled through the implementation of prerequisite programs negating the need to develop and implement a complete HACCP system? If YES, the rest of the HACCP Module is not applicable.	15	For facility operations where there is no preparation, manufacturing or processing of food but only handling or semi-processing, the organization should determine the need of having a HACCP system in place by performing a documented hazard analysis of all steps of each process. If the hazard analysis shows that all hazards can be controlled through the implementation of prerequisite requirements, there will be no need to develop and implement a complete HACCP system. In this case, the rest of the HACCP module questions will be non applicable.
Management Support of HACCP	3.02.01	Is there a team responsible for HACCP development, implementation and on-going maintenance which is chaired by the site HACCP coordinator?	15	An individual should be assigned to chair the multi-discipline HACCP team. The size of the team will depend on the size of the company.
Management Support of HACCP	3.02.02	Does the plant have formal recorded HACCP training for all employees (especially CCP operators and management)?	10	Formal HACCP training is important in ensuring that all employees are knowledgeable about the plan. This training should be documented.
Management Support of HACCP	3.02.03	Are changes in the process, equipment, ingredients etc., causing timely reviews of HACCP systems, including hazard analysis, CCP decisions, CCP records and staff training?	10	When any changes are made to the process, equipment, ingredients, etc., all HACCP systems should be reviewed and the HACCP coordinator should inform all employees involved. Re-training or educational sessions may be necessary.
Management Support of HACCP	3.02.04	Is the plant conducting self audits of the HACCP program?	10	Self audits will help to verify that the HACCP program including the product descriptions, process flows, hazard analyses and HACCP charts are up to date, effective and to identify deficiencies in the program.

Module 3 - HACCP (Sections 3.01 to 3.05)

HACCP System Requirements

Section	Q #	Question	Total Points	Expectations
Management Support of HACCP	3.02.05	Have standard operating procedures (SOPs) been created for the monitoring process of the HACCP system, which would include how to carry out the monitoring activities?.	10	Clear and simple standard operating procedures should be written for each monitoring process of the HACCP system - this expands in detail the monitoring activities in the form of work instructions. These SOP's must match what is written in the HACCP plan.
Management Support of HACCP	3.02.06	Is there a person or group responsible for all the records generated thru the monitoring activities of the HACCP plan?	5	A person or group of people should be charged with the security and maintenance of the HACCP related records.
Management Support of HACCP	3.02.07	Are the records maintained in an organized and retrievable manner?	5	Quick retrieval of records will help in the early detection of trouble, the isolation of problems, and the identification of trends where attention must be paid.
Management Support of HACCP	3.02.08	Are there security measures to insure against HACCP monitoring activity record loss?	5	Records should be kept in a locked cabinet or locked room.
Development of the Written HACCP Plan	3.03.01	Does a product description exist for each product produced? Do they contain the products intended use, materials and raw ingredients, and who the intended consumer is?	10	A description of the product allows the people involved (staff, buyers, enforcement) with the HACCP plan to immediately understand the types of product and processes involved, as well as intended use.
Development of the Written HACCP Plan	3.03.02	Has the process been flow charted? Is the flow chart in sufficient detail to completely describe the process or product manufacturing steps?	15	The information on the flow diagram is used to evaluate whether or not hazards exist associated with the various stages depicted.
Development of the Written HACCP Plan	3.03.03	Has a documented hazard analysis for the process been conducted, showing the various types of hazard and their associated severity?	15	A hazard analysis is required that lists each hazard at each stage of the production. The analysis should show the logic applied when deciding which hazards are and are not CCPs.
Development of the Written HACCP Plan	3.03.04	Have CCPs been developed to control the hazards identified in the hazard analysis step?	15	The CCP's defined in the Hazard Analysis should be developed to define in detail the parameters involved and monitoring requirements in order to control the hazard.
Development of the Written HACCP Plan	3.03.05	Have monitoring requirements and frequencies been determined for the CCPs?	15	Monitoring facilitates the tracking of an operation and helps to determine when there is a loss of control.
Development of the Written HACCP Plan	3.03.06	Are identified CCP critical control limits supported by validation document?	15	All CCP's should be supported by validation documentation showing that the critical control limits (CCL) are scientifically derived and meet any relevant legal requirements.
Development of the Written HACCP Plan	3.03.07	Is there a clear detailed action plan for operators to follow if the limits are exceeded? Does it describe plans to adjust the process back into control and withhold out of compliance products if necessary?	10	Employees should have a detailed plan with procedures to follow when there is a loss of control so that adjustments can be made in a timely manner and to assure that the process is under control.
Development of the Written HACCP Plan	3.03.08	Have recording templates (recording forms) been developed for monitoring the CCPs?	10	Defined records are required for recording CCP monitoring. The parameters on the records should reflect those used on the HACCP Plan.
Development of the Written HACCP Plan	3.03.09	Have specific responsibilities been assigned for the monitoring, recording and corrective action management of each CCP?	10	Specific responsibilities should be assigned for the monitoring, recording and corrective action management of each CCP to ensure compliance.
Development of the Written HACCP Plan	3.03.10	Have verification plans and schedules been developed for each CCP?	15	Each CCP should have verification steps associated with the monitoring e.g. documentation checks, specific product testing associated with the CCP etc.

Module 3 - HACCP (Sections 3.01 to 3.05)

HACCP System Requirements

Section	Q #	Question	Total Points	Expectations
Execution of the HACCP plan on the Plant Floor	3.04.01	Are all of the documents noted in the HACCP plan in place for real time monitoring of the CCPs?	15	Documents noted in the HACCP System should be in place for each CCP. Records should reflect the plan requirements. Using document version control would help ensure that the documents on the production floor match those in the plan.
Execution of the HACCP plan on the Plant Floor	3.04.02	Are the CCP monitoring activities and frequencies in compliance with the plan?	15	The monitoring records should show that testing frequency, parameters and any other details match that what is written in the HACCP Plan.
Execution of the HACCP plan on the Plant Floor	3.04.03	Do CCP operators understand basic HACCP principles and their role in monitoring CCPs? (Interview operators to verify).	5	Individuals should have a basic understanding of the about what HACCP is in general and also how it applies to their operations. Individual should have a good understanding of the details of the CCPs that they have been assigned to monitor.
Execution of the HACCP plan on the Plant Floor	3.04.04	Are CCP monitoring records signed off (or initialed) by the operator(s) who are carrying out and recording the CCP check?	15	Sign off should be required in order to show who actually performed the CCP monitoring tests.
Execution of the HACCP plan on the Plant Floor	3.04.05	Are corrective actions detailed in writing when the failure of a CCP occurs?	10	When a monitoring or verification step shows a deviation against the HACCP Plan, the incident should be recorded along with actions taken.
Execution of the HACCP plan on the Plant Floor	3.04.06	Are the CCP records reviewed and signed off daily by the quality control supervisor and/or management?	10	The records should to be signed off by the designated person responsible for internal verification of the company's HACCP plan. The sign off should not be done by the same person who carried out the monitoring.
Verification of the HACCP Plan	3.05.01	Are monitoring and verification information reviewed and discussed at management level meetings?	10	Feedback to and from management will help in the ongoing improvement of the HACCP system.
Verification of the HACCP Plan	3.05.02	Are there independent audits e.g. third party audits, of the plant's HACCP program (at least annually)?	5	Periodically, external audits of the entire HACCP program should be conducted by competent auditors who have no direct connection to the day to day running of the operation.